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ABSTRACT

This guide is prepared with the objective of improving the management and efficiency of professional associations in the library, information and documentation, and archive fields. It is hoped that improving their efficiency will contribute to the better development of such services in the Third World in particular and will assist in the reputations and salaries of individuals working in these fields. Chapters discuss the following topics: (1) what professional associations are and why they are necessary; (2) the role and function of library, information science, and archive professional associations; (3) organizational structure; (4) governance; (5) operation; (6) programs and services; (7) policies, planning, and procedures; and (8) finance. Seven appendixes contain sample rules of procedure, good practice, and professional conduct, as well as financial planning information. (SLD)

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Guidelines for the management of professional associations in the fields of archives, library and information work

General Information Programme and UNISIST

United Nations Educational,
Scientific and Cultural Organization

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GUIDELINES

FOR THE MANAGEMENT OF PROFESSIONAL ASSOCIATIONS IN THE FIELDS OF ARCHIVES, LIBRARY AND INFORMATION WORK

Prepared by
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Based on contributions from
Ray Palmer and David Bender

General Information Programme and UNISIST

United Nations Educational,
Scientific and Cultural Organisation

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PREFACE

For many years the General Information Programme of Unesco has produced guidelines and studies to help Member States develop national information systems, including libraries, information services and archives. The present document, which is part of this programme, aims at assisting in raising the profile of professional associations in the library, information science and documentation and archive fields with the objectives of making them more efficient and better managed. By doing so it is hoped that they will undertake stronger roles in the development in their countries of national library, archives and information services.

This document has been prepared under contract with the International Federation of Library Associations and Institutions (IFLA) by Russell Bowden, Chairman of the IFLA Round Table for the Management of Library Associations.

The document covers in detail, amongst other issues, the following: the elements that go to make up a professional association; the manner in which associations are governed; the way in which they are operated; the programmes and services that members expect to be supplied; the manner in which policies are formulated and the procedures for planning activities. The management of finances through accounting and budgeting procedures complete the document. It starts with an investigation into professionalism amd explains its importance if workers in libraries, archives and information services are to improve their status and reputation and that of their professions.

The designations employed and the presentation of the material throughout the document do not imply the expression of any opinion whatsoever on the part of Unesco.

Readers are invited to send comments, suggestions or requests for additional copies to the Division of the General Information Programme, Unesco, 7, Place de Fontenoy, 75700 Paris, France.

AUTHOR'S INTRODUCTION

This **Guideline** is a project of the IFLA (International Federation of Library Associations) Round Table for the Management of Library Associations and produced under contract to Unesco through its General Information Programme. It is hoped, when it is published by Unesco, that it will join other guidelines of use in the management of library associations such as that produced by the IFLA Round Table for Editors of Library Journals on the production and editing of these important communication tools.

This **Guideline** is prepared with the objective of improving the management and efficiency of professional associations in the library, information and documentation and archive fields. It is hoped that improving their efficiency will contribute to the better development of library, information and archive services particularly in the Third World and will assist in improving the image of the profession but specifically its reputation and the salaries that are paid to those that work in it and by so doing enhance the status of these three under - appreciated professions.

This work has benefitted much from three sources: the author's twelve years of experience as Deputy Chief Executive of one of the oldest library associations in the world - The Library Association in the United Kingdom. The experiences gained their and the expertise obtained from colleagues both working in the Secretariat and elected members not only of Council but of its many sub-organisations have made a major contribution. Two colleagues, Ray Palmer of the Medical Library Association of the United States and David Bender of the Special Libraries Association in the United States provided the basis for the original work and particularly for Chapter 8 on Finance:Accounts and Budgeting. Their generous assistance is warmly acknowledged. IFLA itself and my twelve years of experience working for it in a number of areas of its activities has also provided valuable experiences which have been drawn upon, along with the others, in the preparation of this **Guideline**.

My own personal contribution comes from experiences gained by working in library and information services for over fifteen years in Iraq, India, Sri Lanka and Nigeria for the British Council and, before joining the Library Association, teaching a course leading to a Masters degree intended to improve the quality and extent of library and information science education in the Third World. My knowledge of archives is limited and I am grateful to the International Council on Archives (ICA) as well as to the International Federation for Information and Documentation (FID) for their approval of the final text. On the library and information side I acknowledge the support of David Bender, Ray Palmer and Klaus Plotz of the Library Association of the GDR for their helpful comments during the final stages of drafting.

The final responsibility however for the contents of document and the views it expresses rests with the author.

I hope that it will prove to be a useful and practical tool that will help many library associations, particularly in the Third World, to be more effective and in so doing help them to raise the reputation and status of the library, information science and archive professions.

CHAPTER I

PROFESSIONAL ASSOCIATIONS

1. INTRODUCTION

1.1 Associations exist to provide organisation for individuals working in similar areas of activity and facing similar problems to meet and exchange views and learn from each other. They exist, in general terms, to provide a range of services to members and to provide a focus of expertise to be made available to external bodies. They represent, to outside organisations, the concerns of their members. The long-term benefactors of such organisations are the end-users of the services that the members of that association provide. They lay down standards for performance, protect the continuing existence of services and monitor the levels of provision of services as well as look after the interests of their own members.

Like any organisation such an association has a life of its own. It has to be organised, its activities directed and its assets administered. For this purpose it requires finances and these have to be managed. It needs objectives and these require the involvement of individuals to identify them and to implement programmes of activities and to provide a range of services to achieve them.

Good management therefore becomes a necessary prerequisite for success. These Guidelines are produced by the IFLA Round Table for the Management of Library Associations with the objective of assisting towards the more successful management of library, archive and information science and documentation associations worldwide and to help them, in turn, to improve their effectiveness and to strengthen their roles in the communities of which they are a part.

1.2 In many countries the development of library, archive and information services has been a slow and not altogether successful operation. Despite objectives of the library, archive and information services professions and the assistance of external agencies, amongst which Unesco has been one of the most committed, these services have often lagged far behind the development of other services such as those to industry, education, health and cultural programmes despite the fact that none of these are able to achieve their maximum effectiveness without the support of information, archive and library provisions.

The integrated planning of library and information services was recognised relatively early in Unesco, primarily by C.V. Penna, as a prerequisite to the provision of services of an acceptable standard and wide-ranging not only in geographical coverage but also in the types of services to be provided. Penna's interest in library and information and archive planning can be traced back to the early sixties, although his interest in planning as a methodology pre-dates that.

During that decade his awareness of the important role that planning could play in library and information services development increased. In his period to retirement from Unesco in 1971, Penna played an important role in obtaining international recognition for this concept of the national planning of library and information services. Four seminars in the main regions of the world were organised - in Quito, Ecuador in 1966 (Meeting of Experts on the National Planning of Library Services in Latin America), Colombo, Ceylon in 1967, Kampala, Uganda in 1970 and Cairo, Egypt in 1974. They culminated in the Intergovernmental Conference on the Planning of National Documentation, Library and Archives Infrastructures - the NATIS Conference - in Paris in 1974. Despite this international activity the development of library and information services has been slow with some few honourable exceptions. There are many reasons for this but one of them, it might be successfully argued, is because of the lack of involvement of professional library, information and archive workers in the implementation of the NATIS Conference proposals. At the most senior levels they were involved as participants but the messages from the Conferences, particularly the 1974 Paris NATIS Conference, were to sectors of government, such as national planners, economists and civil servants - particularly in developmental agencies. The message was rarely directed at those who themselves were closely involved in the provision of library, information and archive services, however weak their influence, and whose work and professional commitments were more likely to result in a fighting force anxious to see the NATIS objectives implemented. Stephen Parker, surveying Penna's early interest in planning writes: "The main object of Unesco's activities in this respect, however, appear to have been to introduce the concept of library development planning to educational planners, rather than to introduce library planners to the concepts and techniques of planning in general".[1] A view made even more clear later in a book Penna part-edited in which the introduction states: "So, whereas in the past a book such as this would have been oriented towards librarians, and would therefore have been rather different in content and treatment, we have set out to cater primarily for political, educational and administrative authorities who in many cases have had to assume responsibility for LIS planning with very little information or precedent to guide them".[2]

1.3 It is the contention of the Round Table for the Management of Library Associations that it is librarians, information and archive workers who have the strongest motivation to obtain the resources that they require to provide services to their publics and the Unesco NATIS Conferences tended to overlook the contribution that they might have made. However well-intentioned was the desire to involve senior government officials, planners, economists etc. they had no reason to listen any more sympathetically to information workers' requests for resources and a place in future development planning than health workers, agronomists or family planning specialists who they might have agreed to possess far stronger reasons for favourable consideration of their plans and requests for developmental resources than did the information professionals.

With few eminent exceptions history has shown that an individual librarian fighting for resources on his own has rarely been successful. An occasional service or individual library with a high standard of service provision has been established but they have been few and far between. An informaticn professional arguing for resources alone and isolated from his community has rarely been successful.

NATIS, introducing the concept of the planning of integrated library, information and archive services at national levels appeared to provide the answer in suggesting the need to involve others outside these professions. However it failed in at least one respect.

It omitted to argue for the integration of the professionals most closely involved and to advise them that by coming together they could as a body more effectively press for the approval of professionally - approved objectives and for the provision of the required resources. As a consequence although "integration" was a keyword it did not reach the professionals and, as a further consequence, librarians, information scientists and archivists, the three professions involved, continued to fight their battles isolated each from the other.

1.4 Voices calling in unison are usually better heard than one in isolation. An English saying "three heads are better than one" makes sense when calling for the adoption of strategies and when arguing for resources. Unity of the library, information and archive professionals can be provided, the Round Table for the Management of Library Association's believes, through professional associations. These organisations, speaking on behalf of professionals, are the most likely bodies to arrive at agreements on objectives and the strategies required to reach them and which will be more effective than individual voices. What was missing in the 1974 Paris NATIS Conference report was the realization of a need for library, information and archive professional organisations to be recognised as one of the prime constituent elements in achieving integrated national library, information and archive services.

1.5 At the present time however few of these organisations are in a fit condition to be able to provide that unified voice, agree upon objectives, identify strategies to archieve them and then embark on activities to fulfil these targets. In most Third World countries library, information and archive associations suffer from a lack of Headquarters and a permanent address to know where, for instance, to send subscriptions. Newsletters, with which to communicate with the membership, are unreliable and as a consequence members become disillusioned and drift away or fail to be recruited. Required statutory activities such as Annual General Meetings and elections are not always undertaken. Without a channel of communication members do not know of meetings in which policies and strategies are to be agreed and adopted. Often the motivations of officers to

be elected are more concerned with personal gain than a desire to serve the members. Of course not all associations present such a bleak picture but many suffer from one or more of these inadequencies.

It is to help to remedy situations such as these that these Guidelines have been formulated by the IFLA Round Table for the Management of Library Associations.

2. CONTEXT

2.1 Little concern at the highest international levels had been shown in the past for the need to improve the situation in the professional associations in the library, information and archive world. Indeed little if any appreciation existed there of the importance that strong and effectively organised professional bodies might play in the development of integrated library, information and archive services until March 1987. Then Unesco organised with FID, (International Federation for Information and Documentation) and ICA, (International Council of Archives) and IFLA (International Federation of Library Associations and Institutions) a two day meeting with the aim of encouraging the development of strong and well-organised professional associations for archives, librarianship and information science in regions of the developing world. That meeting agreed that "national progress and development in the areas of information, documentation, libraries and archives will remain slow in developing countries where active and well-organised professional associations do not exist."[3].

It noted that the experience of the three Non-Governmental Organisations (NGOs), with their existing regional structures, showed that regional associations had to be based on strong and active national associations and that any 'top-down' development would not be advisable. Developments should be linked to the needs and requirements of the area, thus making a single model for them all to follow impossible to achieve. Instead it was agreed that "the creation and development of national professional associations is a requirement in which the NGOs should have an important role to play." Unesco offered its expertise.

On developments at the national level the meeting observed that co-operation between the professions should be grouped around practical projects and action-orientated activities. It noted that Government attention will need to be concentrated on realising the importance of the library, information science and archive (LISA) professions at national levels and on improving the status of the profession as a whole. A structure in which all relevant professions are properly represented will be required - one possible form being a National Information Council. The meeting recommended "that more needs to be done to strengthen national professional associations and to foster professional co-operation at the regional level before further consideration is given to the establishment of inter-professional associations at the regional and national level."

2.2 Much of the thinking behind the meeting - not always evident in the brief report - was concerned to avoid duplicating the establishment of similar organisations, at least in the organisational sense, and the wasteful use of scarce human, physical and financial resources. Indeed in some of the smaller countries, and those where the establishment of archives, libraries and documentation centres are few in number, it was felt that the establishment of one professional organisation might prove practicable and possible.

2.3 IFLA, FID and ICA had for some time been anxious to promote greater co-operation between themselves and to this end had met in Bellagio (May 1980) and their education and research committees in Frankfurt (December 1980). Progress has been made, although it has been slow, with perhaps the greatest being in the areas of education, research and conservation. In the first a number of activities have taken place such as two séminars on the teaching of management in Vienna in 1983 and in Varna in 1985. Nevertheless many ambiguities remain. Archivists continue to make major efforts to develop basic standard requirements to facilitate greater harmonisation with library education programmes. A conference on preservation and conservation was held in Vienna in 1986 and this had been preceeded in 1985 with a tri-partite meeting in Veldhoven on this subject and the core programmes of the three NGOs. An examination of problems and advances in the harmonisation of library and information science and archive education formed a major part of an IFLA pre-Conference Seminar in Manila in 1980.[4] It helped to lead eventually in 1987 to an International Colloquium on the harmonisation of education and training for library, information and archival personnel in London, the United Kingdom planned by, and involving, these three NGOs.

Two resolutions from it are relevant. Resolution 2 recommends: "... to appropriate national, regional, and international organisations that they consider a plan of action to implement activities towards harmonisation of education and training programmes for library, information and archival personnel." And on professionalism Resolution 5 states: "Recognising that the concept of professionalism should permeate the practice of all information professionals, and therefore should be included in their education at all levels, the Colloquium recommends that:

- a code of professional conduct acceptable to the three information professions be established by IFLA, FID and ICA;
- national information professional organisations should encourage harmonisation of education for information professions;
- national information co-ordinating agencies, where they exist, should support action towards harmonisation of education."[5]

However the lengths to which harmonisation should proceed and the methods to be used are still subjects in the educational world for heated debate and some disagreement.

On the ground, in practice, the actual work of professionals in the information field becomes less and less rigorously defined. As preservation and conservation problems increasingly engage librarians' and information scientists' as well as archivists' attention and as new technology facilitates description of, and access to, archival holdings and as the more sophisticated requirements of library users require the exploitation of computer-based information - handling skills and as information services increasingly realise that print-on-paper products are as important as the ephemeral information on a screen the barriers in the way of increased harmonisation in practices as well as in education begin to diminish.

2.4 The creation of an IFLA Round-table for the management of library associations was first considered at the 1980 IFLA Conference in Manila in a programme entitled 'Library Associations on the Move'. In the International Council on Archives a Section of Professional Archival Associations (ICA/SPA) was established in 1976 to be responsible for association problems. Similar IFLA programmes to 'Library Associations on the Move' primarily to judge the interest and support in IFLA for the establishment of some organisation to promote interest in library associations' management, were held in Leipzig in 1981 and Montreal in 1982. It was not until three years later at the Munich Conference in 1983 that the proposed membership of the Round Table and the terms of reference were agreed and it was formally established.[6]

From its inception its objectives were:

1. "to assist library associations to more effectively contribute to the formulation and execution of IFLA policies and activities;

2. to monitor and collect information on the structures, management, organisation and activities of LAs;

3. to assist LAs to implement Unesco NATIS/UNISIST - programmes and IFLA's UBC Programme and UAP;

4. to offer advice and assistance from the expertise within the Round Table to LAs in membership;

5. to collect specialist information for exchange of information purposes as, and where, required."[7]

These were incorporated into IFLA's Third Medium Term Programme (1986 - 1991) and updated in its second edition [8].

Like any dynamic organisation the Round Table for the Management of Library Associations' programme of work developed to meet expressed needs. During a Berlin (DDR) meeting (April 1985) and subsequently at one in London (April 1986) the then six Core Programmes of IFLA were reviewed in detail to identify, firstly, what roles library association's should be encouraged and assisted to play in

implementing in their own countries the activities recommended by the Core Programmes and then what role the Round Table should play to assist them to achieve these objectives. From this emerged the latest plan of activities.

* "Disseminate the Berlin Report and criteria and obtain feedback from library associations;

* produce Guidelines;

* organise a post conference... seminar;

* identify a 'model' library association in each of the three IFLA regions;

* organise regional seminars based on the 'models';

* establish an IFLA Clearing House to collect information on library associations - preferably in IFLA Headquarters;

* assist in the development of income-generating services in library associations - with ROTNAC;

* prepare an investigation into the state-of-the-art on Trans-border Data Flow;

* publish "The role of library associations as effective pressure groups for 'political' action";

* assist associations to encourage 'professionalisation' of their memberships;

* encourage Unesco into understanding and providing support for library associations' development;

* assemble a programme of activities to assist library associations to implement the six Core Programmes.[9]

To these were added activities based on resolutions from a pre-Session Seminar in 1986 in Kanazawa, Japan that recommended to IFLA: "Recognizing the crying problem of low status of librarians, documentalists and information specialists in some of the Third World countries, this Seminar strongly recommends that the following steps are taken by IFLA as an attempt to redress the situation:

(a) that a Pre-Session Seminar on the "Status of Librarians, Documentalists and Information Specialists" be organised by IFLA preferably in a Third World country and

(b) IFLA should take effective steps to formulate standards relating to the status issue and circulate these standards globally."[10]

It recognised a problem which was already emerging from the Round Table's own deliberations and which was being brought to its attention from within IFLA and outside organisations. Work on identifying problems concerned with the status and reputation of the profession began in 1987 and will continue until 1992 when it is hoped to place recommendations before IFLA for improvements to this situation at a pre-conference seminar in Delhi.

With the Guidelines and the proposed seminar, assistance to develop three 'model' library associations in Africa (Kenya) Asia (Malaysia) and Latin America (FeBAB-Brazil) and the five year programme on status and reputation the Round Table's Programme of activity is more than full.

2.5 Membership of the Round Table at the end of 1988 stood at 57. Its objective is to have in its membership by 1991 all eligible associations in membership of IFLA.

2.6 The Round Table for the Management of Library Associations co-operates closely with other sectors within IFLA whose objectives are closely related. The expertise of the Round Table of National Centres for Library Services (ROTNAC) is proving invaluable and close links with it have been forged. The Round Table for Editors of Library Journals has interests which also relate, although not in all respects, to the Round Table. It has produced Guidelines that provide excellent support for library associations attempting to establish journals or newsletters to facilitate communication within their memberships.[11]

2.7 Guidelines, early in the life of the RTMLA, were perceived to be an important tool work on which it should speedily embark. So when the Medical Library and Special Libraries Associations in the US reported that their organisations had had the same thought and had begun work on drafts which the RTMLA was welcome to use the offer was accepted with alacrity and gratitude. It is upon some of that work that these Guidelines are constructed. Their usefulness is gladly acknowledged.

3. BACKGROUND

3.1 Any guideline can only serve as a model not to be followed unquestioningly in every detail but to be translated and interpreted to harmonise with the environment in which the library, information science or archive association operates. In countries with long-established associations (experiences from which many lessons have been learned and used in the production of these guidelines) they have grown and developed effected by, and responding to, the many influences from outside the organisation. These influences come from many sources. These sources, although the specific influences may differ, still exist. They will exert influences today just as much as they have in the past and, particularly, on the newer developing associations.

The role and nature of government and the political processes prevalent in the country will be primary influences effecting the perception within the association of the democratic processes and the extent to which individual members' have the ability to influence the management and decision-making processes at different levels within the associations. They will influence the shape and relationships of the governing and executive bodies (even to the names adopted e.g. Praesidium or Executive Committee). The manner of governance of the country obviously will effect the relationship of the association to the government because in some countries associations are seen, and accepted, as 'pressure' groups pressing for particular changes, for instance, from the government. In other countries the governments perceive associations as responsible bodies that are to be consulted before governmental decisions are finally reached and taken. In a similar manner the culture of a country and the structure of its society influence the manner and shape in which an association develops. The level of development of the nation itself, obviously, will also effect the organisation and administration of an association. If the telephone services and the post are unreliable, or if the experiences of ordinary people in using a vote are limited and therefore little understood then an association will need to take such situations into account in the operation of its business.

3.2 In these very different situations in which professional associations in the information world are likely to operate it is important to emphasis again that, although what follows has been written with an awareness of the need to appreciate these differences, these guidelines must not be adopted without careful review and without changes being made where necessary. They are not prescriptive but a suggested set of models. The IFLA Round Table for the Management of Library Associations hopes that they are acceptable and that they can be adapted and used in many different social, cultural, political and developmental environments both for professional librarians, information scientists or documentalists and archivists.

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CHAPTER II

ROLE AND FUNCTION OF LIBRARY, INFORMATION SCIENCE AND ARCHIVE PROFESSIONAL ASSOCIATIONS

1. The role of the profession

There are few examples in the world, even in the industralised countries, where the perceptions of the library, information science and archive (LISA) professions can be said to be satisfactory. Where there exist long-established and well-organised professional associations the status and reputation of the professions are usually better than in those countries where they are less well organised. However the general picture is not bright. In academic institutions, in local government organisations, in managerial positions in industry and commerce the LISA professionals, in comparison with architects, engineers, accountants and lecturers etc., show little evidence of having much status within their employing institutions with the exception of the archival profession in some European countries, the United States, Canada and Malaysia where it is reckoned to be fairly good. Reputation, not so much of individual workers but of the professions generally, is similarly low and for all the LISA professionals salaries are, with few exceptions poor. A cartoon character or impersonations in film depicting the archetypal information worker are too well known to comment upon here. It is a worrying picture, the reasons for which IFLA's Round Table for the Management of Library Associations has started to investigate.

Part of the problem is that workers in library and information services have hardly began to recognise that they constitute a profession and are not just skilled workers. That LISA skills are required is not in doubt. Skills concerned with facilities with letters and words - for alphabetisation and filing and, for archivists the interpretation of ancient scripts : an eye for detail - for cataloguing; order and method - to organise collections and restore the structure of archive groups; an inquiring mind - to answer enquiries - these are just a few of those required.

Library, information and archive workers however provide more than just these skills to society. They can, or they ought to, undertake responsibilities within society on behalf of members of it, whether they are users of the services or not. Those responsibilities are concerned with the protection of certain rights which if the LISA professions were not concerned to protect them might well be lost. Knowledge of copyright, for instance, is necessary to properly provide photocopies to a library enquirer without either the librarian or the enquirer breaking the law.

When that law changes librarians have a function to ensure that the publics' right of access to the intellectual property of the author is not reduced to the point where access to that information becomes almost impossible. The librarian's function then is to balance the needs of the public to have access to the intellectual

property of the author and at the same time ensure that property has some protection. The Paris 1974 Unesco NATIS Conference identified the rights of individuals to have access to the information that they require. Journalism and the media - radio and television - will both be concerned to protect that right. But when they are primarily concerned with information of immediate currency - rather than with that about the past - and with information that makes a dramatic impact, for instance reports of survivors from an earthquake, it is the librarian who supplies the enquirer with information of equal importance but of a less immediate and dramatic nature. The media normally prefers to present only one side of a political situation to its readers - either for or against a government position - whilst it is the librarian who is concerned to make available more than one side of a political argument. Censorship and the suppression of books have always been subjects on which librarians have fought strongly. Threats to this freedom have to be opposed by librarians. Involvement on behalf of the public's right in issues such as these and the application of their skills are what make librarians, information specialists and archivists professionals. To concentrate only on their skills is to do nothing to improve their status, reputation and image. To become more involved in taking on greater responsibilities for issues that protect the public is to develop professionalism that should contribute to improvements in status and reputation.

1. <u>What is Professionalism</u>?

Librarianship and information workers have long argued over whether they can be considered as professionals. The question must be asked: what is a profession?. Jesse Shera in his book 'The Foundations of Education for Librarianship'[12] quotes Abraham Flexner and criteria expounded first in 1915 but which he argues are today generally accepted and valid. Flexner quoted six criteria. The first is that "professions involve essentially intellectual operations with large individual responsibility". The selection of information for inclusion in an index and of the terms to be used and the writing of abstracts are examples as are, more recently, the skills required in the judgement of documents held in collections for conspectus planning and its operation. When not to use catalogue rules, and in that situation what action to take when the rules do not apply, has also been evidenced as an example of individual intellectual responsibility. However probably the best example is the heavy responsibility of the archivist making decisions on the disposition of records as required in 'archival appraisal' work.

Flexner's second criteria that professions "derive their raw material from science and learning" can scarcely be under question. A large proportion of the materials acquired, organised, retrieved and disseminated are in the fields of science and learning. Bibliographical scholarship, particularly that concerned with rare and antiquarian books, draws on the knowledge required for these activities from science - for instance paper analysis, binding,

leathers etc. It also draws on learning for instance of publishers, bookbinders, booksellers etc. in the 15th and 16th centuries. Archives, since the 17th and 18th centuries have developed knowledge in paleography, diplomatics, the history of institutions and record keeping practices. Although the professions may still be young in identifying their own sciences and learning such intellectual concerns as citation indexing and Bradford's law of scatter are examples of the professions' own emerging sciences. Flexner continues "this material they work up to a practical and definite end". Librarianship, information work and archives is nothing if not practical concerned, as it is, to acquire, collect, organise, store and disseminate these materials in varying degrees. To do so it provides its own tools in the form of catalogues and indexes to find specific items within the collection. The role of the Bundesarchiv in the recent forgery of the Hitler diary provides a good example of a practical end.

Flexner's fourth criteria observes that "they possess an educationally communicable technique". The facts that departments of library, information science and archives studies have existed for decades (and systematic training of archivists commenced in the 1820's) and that eminent professional practioners have passed through them is an indication that this criteria has been met as are the writings on LISA education and the numerous seminars and conferences on these subjects held around the world. A final argument is that many of the educational processes are derived from investigations and research based on practices and can be compared favourably with any worthwhile academic programme in any other discipline.

"They tend to self-organisation". Can any other profession use its skills, in the case of LISA of classification, to an almost destructive degree to divide and sub-divide an association into sub-organisations until it becomes so small and specialist that the influence normally provided from strength in numbers is almost completely destroyed? Too often meetings of these groups find their agendas dominated by organisational issues rather than those concerned to provide services to the public.

Flexner's sixth criteria "they are becoming increasingly altruistic in motivation" establishes a regard for others as a principal for action. It is a general point and difficult to prove. However a senior trade unionist in the United Kingdom once argued that librarians' devotion to their duties bordered on self-sacrifice and made the work of trade unionists difficult, because in situations of industrial conflict most librarians put first their clients rather than their own problems and those of their union. The almost permanent cusade to create conditions that will permit the exercise of professional standards and practices by archivists and librarians provides yet another example.

On examining Flexner's criteria doubts may remain that in one or two of them LISA professionals may fail to meet the requirements. Perhaps the one giving cause for most doubt is the need to continue

to develop theories and principles from science and learning. Nevertheless, and generally speaking, the LISA profession ought to experience little doubt that it comes nearer to being a profession than to being a group of skilled workers or artisans.

However criteria against which to measure the professionalism of a group of people are not sufficient justifications in themselves. In addition there are significant requirements placed upon a profession by society. The first is clearly the need formally to register the profession. The purpose is to make clear to the public its objectives as well as the responsibilities to the public that its professionals undertake. This act of registration also makes clear its commitment and responsibilities to its own members. The registration process may be with government or an agency of it. Often it will be a requirement backed up by statute. What is usually physically registered are the Rules or Charter or a similar formal document. The second document to be registered may be the laws or bye-laws available to a body with policing responsibilities to ensure that these are being conformed to. Archivists may also be subject to law, and regulations based on law, through the national adoption of Archive Acts.

That process however is with authority. The public, who are the users of the services that the professionals in membership of that organisation provide, have a right to know and understand the responsibilities and the position towards the public of the members of the association, who are, in the end, there to meet their needs. Normally a code of conduct or an ethical code will explain in some detail what these are.

The profession however will not exist with these alone. It must have a purpose in the society of which it is a part and its members must have operating objectives to conform with them. The 'life and death' professions indicate this most clearly. The public understands that the function of a doctor in society is to protect life and health and maintain standards of health care in the community he serves. Doctors are concerned with medicine. The legal profession is concerned with the maintenance of justice by the provision of laws and to ensure that they work efficiently not to disadvantage any particular element in the community. The military maintain order and the integrity of the geographical borders of the country. Those in religious orders sustain the moral code and promote the prevailing philosophy of the society.

Their roles in society are well understood and are almost part of its folk-lore. Children's stories help to provide the culture in which they grow up and to make clear these functions. At some point in life it is likely that an individual will come into contact with at least two of these professions. Because they are concerned with life and death matters and are organised and registered, because they are respected and meet needs of most of the population their responsibilities and consequently their status are well understood and recognised.

Library, information science and archives are not life and death professions. They are 'support' professions providing services to those concerned more with life than death. Without information for the education and training of doctors, lawyers, priests etc. the maintenance of their standards and the handing down of their particular knowledge would be difficult. Some LISA professionals do provide services in life or death situations for instance to a surgeon or physician working in a critical situation. In the construction industry rules and regulations concerned with the maintenance of safety provide an another example. The preservation of national continuity or institutional memory, through the archivists' preservation of records which provide not only information but evidence of rights and duties e.g. boundaries, civil and land registers etc provide further examples. Nevertheless LISA professions are far more important than currently perceived by most of the public. There are signs that this situation is fast changing under pressures brought about by rapid advances in information technology and the changes it is encouraging in the work place and in the home. Improved educational standards, a better informed public through education, newspapers, television and radio and moves towards more local democracy are all indications of an increased appreciation of the importance of information.

Although the general public's perception of its needs for information is increasing the view that the profession is centrally involved in its provision remains unsatisfactory. It is so for a number of reasons. They have not been researched systematically although there are a number of popular perceptions in the profession itself. The profession's popular view is that it has failed to put across a central role for itself in information provision in society. For instance public libraries are seen to be buildings from which books are borrowed and only slowly are they being seen to establish themselves as information sources and providers. Frequently LISA professionals have lacked imagination and failed to exploit opportunities to improve the general public's understanding of what they do. There has been a failure by the professionals themselves to appreciate that they are not only skilled workers but members of a responsible and caring profession that is intent on providing services to meet societies' expressed needs and to agreed and acknowledged standards.

Any responsible professional starts by putting the client first above all other demands. It is a primary sign of a professional. So that the public can be made aware of this a code of conduct or professional ethics must be developed.

In preparing it the starting point must be the protection of clients' interests. For instance: "Members' primary duty when acting in the capacity of librarian is to their clients, i.e. the persons or groups of persons for whose requirements and use are intended the resources and services which the members are engaged to provide. In all professional considerations the interests of clients within their prescribed or legitimate requirements take

precedence over all other interests."[13] For many LISA professionals this represents a shift from their previously perceived final responsibility which had been seen to be to the employer. Where interests of the public and employer conflict guidance is clear. "However circumstances may arise when the public interest or the reputation of the profession itself may be at variance with the narrower interests of an employer. If it is found to be impossible to reconcile such differences then the public interest and the maintenance of professional standards must be the primary considerations."[14]

The public interest already referred to is concerned with "an obligation to facilitate the flow of information" thus putting the profession in a strong position which, although still not of life and death seriousness, borders upon it. It must not be forgotten that situations exist where access to information is necessarily subject to restrictions ie protection of privacy, confidential political or military information etc. Where information flows relatively freely and is un-obstructed in a society then the profession, whose responsibility it is to protect that situation, finds it difficult to have anything other than a low profile. But even there monitoring is always necessary. But where the information flow is perverted or restricted then the profession has a significant responsibility placed upon it to facilitate access by encouraging the lifting of unjustified restrictions and, technically, through the provision of finding aids.

The second obligation that a code of conduct might place on the professional is "to protect and promote the rights of every individual to have free and equal access to sources of information without discrimination and within the limits of the law"[15] both for nationals and foreigners. It is a right stressed in Article 19 of the Universal Declaration of Human Rights: "Everyone has the right to freedom of opinion and expression; this right includes freedom to hold opinions without interference and to seek, receive and import information and ideas through any media regardless of frontiers".[16] If not a life and death matter it cannot be denied that it is certainly an extremely responsible function for a profession to undertake and maintain in any society.

There are other situations that a profession has to provide for. They too should be covered in a code of conduct. Discrimination on the grounds of race, colour, creed, gender or sexual orientation either in the promotion of material or in providing services to individuals are out-lawed. The client's use of information or materials provided by the professionals must be protected unless this trespasses outside the law. Professionals should undertake no action for profit motives other than those that are normal remuneration for professional services. At all times a professional must act responsibly and within the law.

Such Codes although not yet common - probably less than twelve professional associations in the information area yet have them - are not always easy for members to comply with. They require major changes in their perspective of their role in the provision of services and consequently radical changes in action and even in performance.

However adherence to them should inevitably bring about changes in the popular picture that the public have of library, information science and archive professionals. With that ought to come improvements in the status and reputation of the profession and for the members in it. Status and reputation have always been the concern of the longer-established associations in the traditional professional fields of religion, the military, law and medicine and more recently engineering, and architecture and most recently of accountancy and management. Occasionally this has been at the expense of the users of these professions' services when the members' needs have come before those of the users of the services the professional is engaged to provide. Balance is necessary. Where it cannot be achieved the user of the professions' skills must come first.

2. Status and reputation

Nevertheless in the LISA professions status has not been a significant issue until relatively recently. The advent of information technology and the increasing awareness in industry, commerce, in education, government and amongst the public at large of the importance of their needs for their information requirements to be met has encouraged the LISA profession to perceive a role and function in society greater and more significant than had been formerly realised.

However there is no denying that today there are few countries in which LISA is recognised to the same degree as the older professions. It is the RTMLA's contention that improved status for the individual LISA professional, and a wider recognition of the broader professions' reputation and its achievements - including those already obtained and those possible in the future - must be adopted as realizable and ideal long-term objectives for all to attain.

Even in the industrialised and socialist countries of the world, where the value of information as a product and for service-delivery is now, or is being, more fully appreciated the status of the archivist, librarian or information scientist/documentalist is generally still relatively low. There are exceptions, for instance where the head of an information service sits on the board of management of a company, or where librarians heading research libraries in academic institutions are on professional grades with the same conditions of service and academic authority as professors, but globally these situations are less than common. More often than not the information professional is at the lower end of the ladder indicating poor remuneration, status and reputation. In some countries, for instance with ancient

traditions of culture and of learning and philosophy, their positions are amongst the lowest of the low. In countries, where traditions of male dominance and the 'macho' image of the man prevail, female dominated memberships find difficulties in making their influence felt. In many countries illiteracy is still a regrettable fact and where it exists it is scarcely suprising that the skills of those working with words on a printed page and with recorded knowledge are not recognised as significant.

It is to help remedy such situations that the LISA professions need to come together in effective, well- managed and strong professional associations with Charters or letters of establishment to properly register them and have them fully recognised by relevant government authorities and with members operating under the authority and discipline of codes of conduct or ethics such as have been decribed.

Any association will find it impossible to operate without the following: a set of **objectives** to which all planning and activities are related; a **name** to distinguish its unique identity; **regulations** to legally register it with national authorities and to comply with laws; an **operating year** to define in time its work and activities - particularly financial; a **governing body** responsible for the management and operation of the association under national laws; **policy making forums** to provide guidance; an **organisation chart** to indicate relationships of office-holders to each other and elected committees; **geographical boundaries**; a **postal address and office** and equipment for work and communication to take place; **staff** with day-to-day overall responsibility for the management of the organisation: a **newsletter** or **journal** to report to the membership through official notices and for the membership to keep contact with each other and an **annual general meeting** when the elected, or paid officers, report to the membership on their stewardship for the previous year; a **code of conduct** to guide members on matters of ethics or principles.

3. Essential Elements

These are the essential elements necessary to create and keep in existence strong, well managed and effective associations. They are necessary pre-requisites to the creation of such organisations. There are fourteen such essential elements: In addition there are organizational elements which will be considered in greater detail in Chapter III.

Objectives They need to be clearly and simply expressed. Ideally they should not exceed the number of fingers on two hands (and at most a dozen). They should be specific enough to be meaningful but not so specific that they constantly require altering or updating. If possible they should be included in the registration document of incorporation.

Name This should be simple, short and descriptive. It should have, normally, 3 elements - a word to indicate the type of organisation (eg 'association', 'institute' etc);

words to indicate the type of profession which it is intended to serve (eg librarians, documentalists/information scientists, archivists etc) and the geographical area from which its membership is expected to be drawn. Not only should the name make clear the national identity of the body e.g. Stowarzyozenie Bibliotekarzy Polskich (Polish Librarians Association) or Verband Osterreichischer Archivare (Association of Austrian Archivists) but also its relationship to any parent or supra-national organisation e.g. FeBAB - Federal Library Association of Brazil [Federacao Brasileira de Associacoes de Bibliotecarios] and also if possible the nature of the organisation e.g. Asociacion Interamericana de Bibliotecariosy Documentalistas Agricolas - AIBDA [Inter-American Association of Agricultural Librarians and Documentalists]. Ensure that any acronym likely to develop will be acceptable and not impinge on the boundaries of taste and politeness!

Regulations These are necessary to control a number of different areas of activity. In countries previously with British traditions they are often incorporated into charters and bye-laws. They usual encompass rules necessary to regulate membership criteria and the composition of the governing body and its sub-organisations and of professional qualifications. They will control the operation of elections, describe and establish machinery for the officers and committees and for disciplinary procedures (particularly where a code of conduct operates), govern financial affairs, provide rules for general meetings and regional or specialist interest sub-organisations. They are normally a requirement of national governments or the registering organisation. Often these requirements are re-inforced by laws and statutes for the formal registration of such associations.

Geographical Perimeters The boundaries of a country, or a local government area, for a sub-organisation of the whole, will normally help to clarify these. It is important that the definitions of them are clear and widely known to avoid misunderstandings. For instance Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) or European Association of Information Services (EUSIDIC).

Operating Year A definition is required primarily for a number of purposes; the first being financial control and accountability, to calculate tax liabilities and for such membership purposes as subscription payments. Other purposes, not connected with money, are to define the length of terms of officers, the life of the committees on which they serve, the effective operating or working year and to define reporting periods e.g. for the Annual Report.

Ultimate Authority The name given to this part of the organisation can be any number of variations along the lines of 'Council' or 'Praesidium' etc. Its primary function is as the ultimate authority of the organisation and to take responsibility for the decisions it takes and actions in which it is involved. In law it must normally be capable of being sued. It must be identifiable as an entity for the purposes of registering the organisation with the relevant national and/or governmental authorities. It will be responsible for the decisions taken elsewhere in the organisation and will have responsibility for the imposition of discipline on its members and officers. It is the ultimate authority of the Association.

Day-to-day management The nature of this element of the organisation will vary in different environments. Its purpose is to devolve authority from the ultimate body to a more manageable and operative sub-organisation given the situation that the ultimate authority is usually large and expensive to call together. It will normally comprise honorary or paid officers and its function is to be concerned with the day-to-day management and operation of the association. It should have executive powers on behalf of the ultimate authority to which always it will be entirely responsible in the final count.

Staff These may be paid, or unpaid, full-time or part-time. Their total number will depend on the finances of the association and the work with which it is involved. Staff members' functions should not be confused with the duties and responsibilities of honorary officers who are nominated, elected or appointed by the membership.

Organisational Chart If the organisation employs staff such a chart is imperative. When officers operate in honorary capacities even then a chart is desirable. In brief it should identify the office-bearers and their responsibilities, specify their relationships one officer to another, particularly if they are hierarchical so as to avoid confusion. If relevant, and possible, the nature of, responsibilities to any controlling or advisory committees or sub-organisations of the main body, in which the ultimate authority of the association rests, should be clearly defined.

Premises The importance of possessing premises cannot be over-emphasised, not so much to house the organisation and its physical manifestations of furniture, filing cabinets, desks, typewriters and records and accounts etc, but to provide a permanent (or at least not annually changing) address to which members can write and send their subscriptions. At worst a post office box will serve as a substitute. Without subscriptions an association dies.

Administrative tools Whatever the size of an association and whether or not it possesses paid staff it requires a clearly defined administrative organisation. It should indicate clearly, with no room for doubt, the specific responsibilities of each person and the relationship to which committee or decision-making sub-organisation of the main body they relate. Even for honorary officers the idea of job descriptions should not be ignored. They help to measure performance when elections are next due and indicate to future candidates for office what is expected of them. Planning is an essential administrative tool and the preparation of a strategic plan should be considered.

Financial control As much as, or more than, administrative machinery is there a need for financial control. The memberships have a right to know about, and the officers a responsibility to account for, subscriptions and all other monies received. Financial administration is required to control money the moment it is received into the hands of a finance officer and thereafter until it passes into a bank and through accounting procedures. These are necessary to record its every movement accurately and in neatly maintained registers that are eventually available for inspection and report by auditors.

Newsletter/journal This represents the cement that holds together the bricks of the membership. A newsletter provides communication from the headquarters offices to the membership at large carrying information on Annual General Meetings, dead- lines and methods to participate in elections, reports on finances and the work of officers and staff, if they exist, and the association. In the opposite direction it provides communication from the membership to the centre - through a letters page - and between members particularly on professional matters (eg printed papers or of more personal news through a 'People' column).

Code of conduct Although not considered of importance until relatively recently now the need for, and benefits of, having codes are better appreciated. In the eyes of the public the possession of such a code indicates the existence of a responsible professional body.

Annual general meeting It is usually a necessity which is included in the establishing regulations. It provides officers with an opportunity to explain to the membership their periods of custodianship of their interests and of the association's affairs as well as an opportunity to communicate, on these matters, with the membership. However it should be noted in some circumstances an annual meeting may prove unnecessary so long as the communication between the association and its members remains acceptable.

There are other elements conditioned by the situation in which the professional association operates. However the above are considered to be the essential elements without which an association can neither operate nor be a responsible and trustworthy organisation.

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CHAPTER III

ORGANISATIONAL STRUCTURE

INTRODUCTION

The purpose of this Chapter is to expand in more detail upon the elements recognised in the previous Chapter - and considered necessary for the successful organisation of an effective professional association - and to describe organisational elements such as membership, without which no association could exist.

It will be found that some elements accrue to a body as it develops in size and the range of services it provides and the activities undertaken on behalf of its membership. The problem is to assess these elements and to reduce them in the interests of keeping a stream-lined and efficient operation. A useful maxim to apply then is - are they nice or necessary? The former can be dumped the latter cannot.

The two absolutely essential elements without which no association can organise itself are **membership** and **money**. The last comes from the first. Without members no money can be raised - usually from members' dues or subscriptions - and without the sensible expenditure of money - normally on services - then the membership will not remain and subscriptions will dry up.

1. Membership: There are various types of people and organisations that will want to join or from which the association will want to recruit. Different categories of membership need to be devised to accommodate them. There are two basic categories:- personal and institutional. In considering the types in each category it should be borne in mind that individuals or institutions within the organisation will want to meet together because they have common problems and will have shared experiences. Opportunities for them to meet should be facilitated because that will assist in keeping them satisfied - an essential pre-requisite to their remaining in membership in the future. To not do so is to challenge them to organise outside the professional association.

   Personal: They may be drawn from the ordinary public with no more than an interest in supporting libraries, information and archives services by joining the organisation or a related subsidiary body such as a 'friends of the Library' or 'Amis des Archives'. They may be educated and trained and be professional archivists, information scientists or librarians holding academic and/or professional qualifications. This category of those educated and trained can be subdivided further to indicate recognition of individuals who are professionally qualified (where such qualifications exist) and those who are not. This would be relevant in those associations that award their own professional qualifications after candidates have completed procedures required to be elected onto the Register of members with professional competence. The former may be granted rights not available

to the others. For instance it could be argued that those not professional qualified should not have the same rights to control the policies and activities of an organisation that is attempting to be truly and comprehensively professional as those who are. In other words there may be restrictions placed on those possessing only education and training but with no professional qualifications from the association with regard to voting or such matters as holding high office. Categorisation of the personal membership file can separate these two groups if it is so desired. Subscription rates may differ primarily to reflect the different requirements and range of services required by them.

Overseas: usually a separate category with a subscription rate lower than national members because of the physical difficulties of providing services to them over long distances and discovering their prime requirements in foreign lands and environments.

Expatriate: not easy to define but usually an overseas member working as a non-national in a third country. (The national of a foreign country working in his own country would be an overseas member). Often this type of member will be classed as an 'expert' or 'consultant' employed by a foreign government or international organisation. Their salaries often permit them to afford a slightly higher subscription than an ordinary overseas member. Such criteria could not be applied to volunteers and exemption from subscriptions might be made for them.

Student: The future of a membership-based organisation depends to some degree on recruiting into membership young people as they enter the educational processes leading to professional qualifications. Indeed membership may be necessary then in order to obtain these qualifications. The motto should be: "catch 'em young" - and then ensure you satisfy their needs enough to keep them in membership.

Retired: It is usual to provide a special category - often at a reduced rate of subscription - for members retired from professional work partially in recognition of their long service to the profession at large but also of their long membership of the association. Annual subscriptions for this category are usually conflated and after some years, or the payment of a particular sum of money after retirement, membership becomes free.

Women out of employment - Increasingly in a period recognising the rights of women to equal opportunities with men (and correctly for a profession in which, in many countries, women are the largest single group) their need temporarily to leave the profession to rear families after

which they will resume their professional careers is provided for by a special category. It has a benefit for women in that they do not have to leave membership (for the penalty if it exists, of having to pay a re-joining fee) and for the association of providing a useful statistic of a particular group in the membership file.

Unemployed: Unfortunately in many countries there are always some members who become unemployed. To permit the association to provide a service to assist their re-employment in new jobs they should be encouraged to remain in membership. With no regular income from work it is obvious that their subscriptions will need subsidising by the better-off members. A separate category for them is therefore required. Again this provides useful data from the membership file if these people are categorised separately.

Honorary: A profession may well wish to honour distinguished individuals who have made a major contribution to the profession or the association itself. The methods open to it are limited. One, however, is the award of honorary membership. It usually carries with it free membership and certain other benefits.

Institutional: In a professional organisation which primarily is individual membership based at first glance membership by institutions may appear anomalous. However many of the services provided for personal members are indirectly, and often directly, beneficial to institutions - particularly those in which the individual members are employed. Benefits from the association's services assist both categories sometimes indistinguishably. It would, therefore, be unwise not to ensure that income from subscriptions is contributed also from these beneficiaries. Care should always be taken to ensure that the national influence exerted by large bodies is not permitted to overwhelm the natural rights of personal members. Correct balance is all.

Suspension of membership: It is essential to ensure that a rule or bye-law exists and that it is operated to strike from membership those individuals, or institutions that delay beyond a stated period their payment of subscriptions. Associations might also consider the application of the practice of denying voting rights to those who have not paid the current year's subscription.

2. Qualifications: Flexner's criterion stated "They possess an educational communicable technique." The IFLA 'International Guide to Library and Information Science Education: a reference source for educational programmes' in which are listed over 520 courses and programmes, makes clear that the library and information

profession certainly possesses communicable techniques if the number of institutions teaching them is any clue. For archives the picture, though less bright, still proves the same point.

Qualifications awarded by organisations outside the professional associations such as the departments and schools of library and information science may require recognition for their professional value if that is considered by the association to be a suitable objective. Only in the United Kingdom and one or two other countries does the unique system exist whereby a professional association awards its own qualifications that are recognised not only in that country but globally. In other countries qualifications and their standards are the responsibility alone of academic institutions or of those working with educational divisions of governments.

It can be argued, and increasingly is, that three elements constitute a professional qualification. The first is pre-graduate level education (or pre-Diploma level in European Community parlance)[17] which is school-based and is also pre-higher or pre-further education. The second is education for a job or at graduate level a course which which may be vocational or purely academic in content (and the two are not mutually exclusive). A final element is post-educational experience or training for the practice of the profession or vocation. At the second and/or third levels a qualification is awarded that commands general recognition outside the profession and is regarded as an indication of professional competence adequate to permit a person to practice. That qualification, as we have seen, may be an academically - based qualification such as a first (under-graduate) degree or second degree (usually a Masters) or diploma (post-graduate) or it may be a non-academic award ('topping-up' the academic qualification) awarded by a professional association - as in the U.K. The latter may be considered to be preferable by some people in so much at it recognises a period of post-educational training that has helped to assist the student to realise academic theses and principles and relate them in a work situation and, under supervision, to professional practice. However there are others that argue that there is nothing more important than the academic degree itself which provides the intellectual basis to practice.

Of no less concern here are qualifications at levels lower than under-graduate and university-based degrees. They lead not to professionally recognised qualifications or to full professional membership of an association but to a level and qualification variously known as 'para-professional' or 'technician'. If this category are welcomed into the association, and this is unlikely to apply to archive associations because the numbers working in archives are usually too small to justify these two categories, then consideration should be given to their forming in a seperate group. Their abilities to influence policy-making needs to be carefully considered and possibly limited on the grounds that they

are not fully-qualified professionals. The distinctions are developed and expanded in an American Library Association policy statement of 1970.[18]

If the professional association alone takes responsibility for the educational programmes of its members either by organising full or part-time courses it must ensure that they are of the highest standard. To do otherwise is to inhibit recognition of the status and reputation of the profession because of the inability of its professionals to provide services to the users of the highest standards.

Obviously if such a function is undertaken it must be planned carefully and its educational objectives and standards set only after the most careful study of the standards set by other educational institutions in the country. Recognition of the association's programmes and standards will need to be obtained from accrediting bodies such as government or educational institutions. It would also be beneficial to survey and consult with the employers of potential graduates from the association's educational programme, to ensure that a satisfactory relationship is forged between educational needs and employers' requirements.

When the educational programme is outside the professional association, for instance in an institution of higher education, the association needs to develop a relationship with it in order to influence the contents of the programmes and their standards. That relationship may be formal, in as much as an academic qualification obtained from the institution may be accepted by the association as a requirement, or part-requirement for the recognition of professional status or, if this relationship is not relevant, an informal relationship should be established as it will benefit, and produce advantages to, both organisations.

Particularly in the first situation the association will have to engage in the relationship with tact and diplomacy and only after recognising a number of factors. These are that any educational programme for librarians, information scientists and archivists, if it is to attain high standards, is an integral sector of the education institution of which it is a part and will draw on the ethos, resources - human, technical and administrative - of its parent institution. Secondly the association must appreciate that the LISA course accreditation procedures are an integral part of parent-institution procedures or some outside accrediting national body which will be concerned with the complete educational programmes and standards of the educational institution itself. In such situations the professional association should be concerned only with areas in which it can establish a legitimate interest and expertise. These might include - course contents, professional orientation of courses, the involvement of staff in the profession and its activities, their research results, publications and the perception of the students of the course.

In any relationship between the external institution and the professional association the ingredients to be obtained should be mutual trust, respect and a recognition that, on both sides, there are legitimate concerns that may not be easily harmonised. In the latter the reasons for these should be known and discussed even if harmonisation proves immediately to be impossible. To permit positions of conflict to develop help neither side and will damage the credibility of the association - independent as it is from any parent organisation and unlike the educational programme.

3. Structure

With the structure, more than anywhere, the professional association's organisation must take into account the social, cultural, political and developmental environment of the country that it is in. However, not withstanding this, the organisation should attempt to provide mechanisms to operate at two distinct, but related, levels. The national level will include the Praesidium or Council, or whatever name is given to the highest and ultimate authority of the Association (hereafter referred to as the 'Council'), or its sub-organisations led by an executive committee or bureau with devolved authority to manage the day-to-day operations and the headquarters staff, files, records and officers (and hereafter refered to as the Executive Committee in these Guidelines). It should always be remembered that this part of the whole organisation appears to be, and usually is, remote geographically and in hierarchical terms, from the ordinary member in his or her employment situation. It is for this reason, amongst others, that there is usually a significant need for a structure, or structures, to bring the association closer to individual members.

Local level

Ideally, if the size of the membership justifies it, members require at the local level nearest them and where they can become involved in the association's activities, to be able to join at least two categories of local sub-organisations of the main association. One is likely to be regionally or geographically-based and its activities and programmes will be organised in venues within easy reach. The function of what might be called local branches or divisions often are concerned with specifically professional or professionally-political matters - for instance with the formulation of association policies and with elections and the management of the association at the centre.

Members, however, will also want to meet with others with whom they can share particular experiences either of the work place or of those specific skills with which they are involved. This usually results in two further but separate categories of sub-organisation at the local level which are often known as groups or sections. The first is a category representing the type of environment or similar parent-organisations in which members are employed or

reflects the over-arching management structures corresponding to the member's own. Organisations in this category are often known as groups representing, as they do, the types of organisation in which members are employed eg. county archives, public libraries, university archives, university, college and research libraries, government information services, school libraries etc.

Very often the member will also want to be able to mix, and exchange experiences, with other professionals engaged in similar professional practices. Only the largest associations with many members will have the resources to be able to organise such interest groups at local, rather than the national, level. So groups or sections are formed representing practices such as cataloguing and indexing, work with youth, community services, information technology, audio-visual materials and international and comparative activities and research, etc. The elements of the structure required at the national level ideally grow from, and are based upon, these two elements present at local levels. Certainly the organisational structure must accommodate machinery to provide close management relationships between the two levels.

National level

The elements required at national level in addition, as we have already observed, to the supreme authority (Council) and its delegated authority for day-to-day management (Executive Committee) and the administrative bureau or Headquarters office with responsibility for statutorily - required activities - e.g. organising elections and the Annual General Meeting and managing the financial affairs of the association - vary with the size of the membership and the environment in which the association exists. They usually include, in addition, bodies such as sub-committees or working parties or commissions the purpose of which is to serve as task forces to bring together members with relevant knowledge and expertise to help to formulate policies and to provide advice on the conduct of activities. They can also provide to the membership through seminars, meetings and conferences opportunities to assist the organisation to obtain their views. These national level sub-organisations should be linked with the main Council through cross-representation of memberships. Ideally they will draw on the reservoirs of expertise represented in the local specialist groups. Reporting and financial-decision mechanisms will need to be established leading to the ultimate authoritive body - which is, after all, responsible under law for all the activities of the association. It is often best achieved by using the Chairpersons of Committees, more perhaps than Working Parties and Commissions - which by their very nature are transitory and have a definite life-span - to form the membership of the executive committee responsible for the day-to-day management of the association. Its terms of reference could well include responsibilities for policy overviews and their planning and coordination and the allocation of

resources. To work this system all policies and resource requirements from all sub-organisations will need to be channelled to this committee. That provides an additional reason why Chairpersons or other representatives need to sit on it.

Terms of reference are an important element in the organisation of the associations' structure. They should be brief, clear and concise. They need to define the boundaries of responsibility (ie what the sub-organisation can and cannot do); the relationship of one sub-organisation to another (as might be represented in an organisational chart) and its authority in executive terms (ie how much it recommends to the ultimate authority body for its approval and to what extent it can execute policies and activities without doing so). It should be noted that its actions in such circumstances need to be reported retrospectively to the ultimate authority so that the Council can have a comprehensive picture of the association's work. This can be effected, as with reports of activities from elsewhere in the organisation, by the speedy and reliable production of accurate **minutes** of meetings to recall decisions and agreements and how they were reached as well as to note the major issues discussed. In large organisations administrative mechanisms need to be put into place to ensure the correct circulation of minutes to those who need to have sight of them. It should be remembered that minutes may, in special circumstances, be used as evidence in courts of law and therefore their accuracy must be assured and their authority confirmed at future meetings by signing them to that effect.

The size of Council, of Committees, of Sub-committees, Working Parties, of Commissions and Task Forces will depend on the work they are established to perform. For those with limited life (ie. Working Parties, Commissions and Task Forces) size will be governed by the expertise required for the particular work to be done or by the representation of interest groups that have views they wish to represent. Small is not only beautiful but usually less of a recipe for disaster than is large.

Committees' and Sub-committees' sizes often will depend on that of the body with the ultimate authority - the Council - because they may be, and Committees most likely will be, sub-sets of the main Council. Agreement on the size of this will be reached only after intense political processes resulting from the lobbying of the various association interest groups representing geographical areas, sectors of professional practice, specific interest groups etc. etc. An important rule is to keep it as small as possible but to include representations of as many of the pressure groups as possible to avoid them forming as independent bodies outside which weakens the authority that the association will hope to have when it claims legitimately that it is speaking for, and represents, the whole of the profession.

The manner in which this Council works, its terms of reference and its administration and servicing etc should receive careful attention. Its minutes will serve in courts of law as well as for

future generations as the archival record of the organisation. They therefore need preparation with attention to detail and they will need conserving with care. The creation, arrangment, appraisal, maintenance and preservation and access to the records forming that archive are tasks often overlooked in an association and for which guidelines would be a useful tool. All these will be tasks of one of the Officers or members of staff.

The Officers, whether Honorary, or unpaid are important elements in the organisation. The number, their functions and responsibilities will vary according to the size and nature of the organisation.

Equally important are paid staff - if the Association can afford them, their number will depend on finances available and the tasks to be performed and will vary also according to the size and nature of the association. In an association where all, or the greater part, of the officers are honorary they should, with Committee Chairpersons, be involved in the day-to-day administration of the association and therefore on its executive committee.

Even in a body with only voluntary officers and no paid staff **job descriptions** are useful in that they define the responsibilities of individual posts and ensure no overlap that can lead to dissension and conflict and they serve also to indicate hierarchical relationships. They are also useful as measures by which performances can be judged by the electorate when officers comes up for re-election. Job descriptions should be supplemented by an **organisational chart.** This is particularly important when posts are filled by paid staff. It must indicate clearly the individual staff member's relationship to a committee or sub-committees that he or she may be responsible for servicing ie. calling together, preparing agendas and minutes and carrying out the agreed actions. It should also serve to further clarify inter-office relationships.

Finally and prosaically an important element in the organisation are **premises** and, even more important, a **postal address.** When the address of an Honorary Treasurer or Honorary Membership Officer moves around the country with each change of office holder after elections the membership can be forgiven for abandoning the search to discover where to send subscriptions which they are not enthusiastic about paying anyway. If premises are beyond the financial means of the association then keep a permanent post office box number or make arrangements with a bank to credit subscriptions directly into the association's account.

4. Objectives

The primary objectives of an association are normally made clear in the legal documentation necessary for its proper registration and establishment with government or other authorities. They are usually general in nature leaving the detailed objectives to other documentation such as byelaws and rules. Alternatively their development may take place in subsequent policy formulating activities as the association grows and expands.

The registration document, which can be in the form of a Charter or similar formal and authorative format will be endorsed by Government or even a Head of State (as is the case by H.M. The Queen for The Library Association in the United Kingdom). It should be carefully prepared after the association has reached agreement with its membership on the details it wants included. This task should be undertaken by expert legal draftsmen because the text may have to stand up to challenges in court at some unknown time in the future. These objectives may include all, or only some, of the following:

* represent and act as a professional body for persons working in, or interested in, library, information and archive services;

* monitor legislation affecting the provision of library, information and archive services;

* promote legislation as may be considered necessary;

* promote, and encourage the maintenance of, adequate and appropriate provisions of library, information and archive services in cooperation with the institutions involved;

* encourage the better management of these services;

* encourage the improvement of the knowledge, skills, position and qualifications of library, information and archive personnel;

* promote study and research;

* ensure the effective dissemination of appropriate information to members;

* work with similar associations overseas and appropriate international bodies to promote the widespread provision of adequate and appropriate library, information and archive services;

* provide appropriate services to members;

* undertake such lawful things as are incidental or conducive to the attainment of the above objectives.

A comparison of these objectives with Flexners' six criteria serves to prove, if proof is necessary, the professionalism of librarianship, information science and archives.

Byelaws are an essential organisational element, based firmly on the Charter or similar supreme legal document. They elaborate the objectives laid out there in greater detail and in particular provide the legal basis for the machinery and the structure of the organisation such as that described in the earlier part of this Chapter. They may provide for all, or only some of, the following:

* carry out any of the purposes of the association;

* qualify, elect, classify and suspend members - including the contributions to be paid by the various categories of membership;

* the election, nomination, appointment, removal, continuance of office and the duties of Officers, of Members of the Council, Executive Committee, Sub-committees and other sub-organisations of the association;

* the issue, renewal and forfeiture of certificates of efficiency (where an association undertakes this function);

* summoning and holding and preparing the proceedings of General Meetings including voting at such meetings and conforming to legal requirements of such;

* summoning, organising and the recording of decisions at meetings of Council, Executive Committee, Committees, Sub-committees etc, etc;

* management of the funds, property and archives or records of the association;

* any matters connected with, or related to, the affairs of the government of the association.

Much closer to the needs of members, for whom we should always remind ourselves the association exists, are more specific objectives. They translate through policies, prepared by the members and approved by the Council, into actions that provide services to members. These services tend to separate into two main groups: those that provide benefits to individual members - loosely defined as those concerned with their education, training, qualifications, continuing professional development and with the money that goes into member's pockets ie. salaries and remuneration and the conditions of their employment. Obviously, from the members point of view there can be few benefits of greater importance from being in the association than these.

The second group of service objectives relates more to the needs of institutional members. It is not co-incidental that in many cases these also correspond to the requirements of the public for the type and standard of professional service that they expect from the archive, library or information services that they use. They usually include the establishment of standards, definitions of levels of service resourcing, access to the services or the artifacts they provide, opposition to restrictions on access etc.

Obviously these two categories are not exclusive and overlapping takes place. For instance it is not too difficult to observe that the improved education of professional members not only enhances their income - earning abilities and personal motivation and job satisfaction but in so doing it contributes also to an improvement

in the standard of provision of service to the end-user. So there exists a third group - a sort of grey area - where the association's provision of services to its members benefits, in varying degrees, both the individual member, the institution in which that member works and the public who use the services of that institution.

A listing of objectives in these categories, some or all of which, depending on the size and resources available, an association should consider providing for its members might look something like this:-

Personal Members' Services

* improve the status and conditions of service of LISA professionals;

* improve the remuneration of professionals;

* develop or assist with the provision of education and training;

* provide continuing professional development opportunities;

* ensure the availability of a relevant qualifications structure.

* provide channels of communication through the publication of a journal or newsletter.

Institutional Members' Services

* Contribute to the cultural and economic development of the country:

* encourage resources for library, information science and archive organisations;

* assist member LISAs to enlarge their collections;

* encourage the creation of additional LISAs;

* promote public awareness programmes;

* encourage government to awareness of the benefits of the national planning of the LISA system and encourage the establishment of national and regional networks and supporting organisations;

* produce printed or on-line bibliographies and union lists;

* publish and disseminate works useful for developing the literary tastes of the country's citizens;

* encourage the development of standards in all relevant areas including those for electronic data interchange;

* serve as a centre for information on LISA - related activities;

* encourage the provision of services to minorities and the disadvantaged;

* promote the preservation and conservation of the cultural heritage;

* encourage, and where relevant, undertake investigations and research and the collection of statistics;

* encourage the analysis of the performance of LISAs against agreed standards;

* encourage the improvement of inter-lending and exchange systems;

* encourage the improvement of the management of LISAs especially in the marketing of their services;

* encourage and promote regional and international co-operation between libraries, documentation centres and archives and between the professional organisations and interests representing them;

* encourage the internationalism of the LISA profession;

* establish relationships and co-operation with related professional or trade organisations e.g. booksellers, publishers, arts and cultural bodies, educational institutions etc;

* work with politicians - both at national and local levels and with governments.

* encourage consideration and assessment of new ideas and innovations.

Joint Individual and Institutional Members' Services

* in-service training;

* contribute to the more efficient use of specialised knowledge;

* assist with the development of professional tools and innovative methods of work.

These cannot be comprehensive lists and they indicate clearly the difficulties in applying these classifications too rigidly. Obviously each association whether comprising librarians, information scientists or archivists will develop the objectives

and services necessary to respond to the initiatives that arise from outside the association and from government policies and to satisfy members' needs. Not all of those listed will be relevant and there may be others that are necessary and require adding.

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CHAPTER IV

GOVERNANCE OF THE ASSOCIATION

1. Social and political factors.

Professional associations in the library, information science and archives world have not sprung from nothing, fully organised and their structures pre-shaped and entirely established. They have grown and developed under the influence of the individuals who were their founding fathers and in response to diverse and various pressures such as the counter-views of others, to meet the requirements of laws and registration procedures, to conform to the generally acceptable mould of the developmental processes of the country in which the association was established. The pressures will have been clear and obvious in only a few cases (eg. registration requirements) but normally they will have been subtle and almost unnoticeable. Such processes are quite natural. These same processes are still at work in associations and will continue to be so in the same manner as bacteria, generally unnoticed in the human body, continue to result in its subtle change and development.

An association is not unlike the human body. It will, as indicated, respond to the pressures that are at work within it. These are often political and emanate generally from professional issues and the association's management requirements. In the same way it will respond to, and be shaped by, the pressures from outside. These are often regulatory - such as the necessity to comply with laws for its registration or for the management of its finances - but there are others that are less precise and formal. These pressures usually flow from the social and political environment of the country in which the association operates. It is almost unimaginable that an association will successfully operate without conforming to, and being influenced by, outside pressures particularly when their source is the governance of the country. For instance if this involves the practice of one person one vote for elections of members to a parliament or a praesidium then it is unlikely that such practices will be ignored in making a decision about those to be used for the elections to the body with the ultimate authority in the association. If the country's political processes use more devolved methods of representation, such as elections at a lower level of the electorate for representatives to carry the mandate of their constituents to a higher level of political decision-making then it is likely that similar processes will be adopted in the association. The political processes by which the association is governed almost appear immaterial when what is really important is that they should be seen to be democratic and that every and each member has, and is seen to have, the ability by his or her vote to influence the management and decision making processes of the association.

These democratic processes are important because they provide authority for those who speak outside the association on its behalf and help all parties present to understand that this is the

situation. Representatives who are obliged to speak on behalf of an association but who are known to lack the approved mandate of the membership, because the political processes necessary to reach views or even to elect that individual are suspect, define to a large measure the authority of the individual's representation and consequently the authority of the association itself. For members at the grass roots level their abilities, through the democratic processes, to influence, and know that they can influence, the affairs, policies and management of the association through the wielding of their votes is an important attraction to joining and remaining in membership.

2. General Assembly or Congress

This is the plenipotentiary body with sole authority for constitutional matters - where it exists. In some associations this responsibility rests with the Annual General Meeting (see later). It can also have responsibility for the election of the Council. If it does not this is achieved by elections embracing all eligible members.

3. The Council

The words 'ultimate authority,' 'Council', and 'Praesidium' have all been used to describe what is in hierarchical terms the body at the apex of the management structure of the Association. Other names that describe the position of that body should all be acceptable such as Board of Directors, etc. An acceptable name must be selected. (In this Guideline 'Council' is being used.)

What matters more than the name is its function. It should be the personification of the whole of the organisation, however many sub-organisations might also exist, and it should represent the association - in all its manifestations - but most importantly of all it should be seen to be the ultimate authority of the association that no other body can dispute and that is responsible, in the end, for all the association's actions, activities and decisions. The levels of responsibility that a Council assumes can be observed if the association is taken to the courts of law because it is this body's decisions, and the records of it, that the Courts will examine and make judgement upon.

These ultimate responsibilities include the financial management of the association. Incompetent management, particularly if resulting in bankruptcy or fraud or embezzlement will find the Council again answerable to the Courts. Decisions on policies or approval for courses of action or activities which, if in defiance of the law - whether, wilful or not - will result also in the association being brought before the Courts. The removal, or withholding, of membership or the association's qualifications in so much as either action may effect individuals' opportunities to practice their profession, would be another situation where the Council would have to represent the association's decisions in the Courts. Serving on the Council is a serious responsibility not to be undertaken lightly.

For a Councillor or member serving on this body particular qualities obviously will be required. They must be dedicated to serving the interests and objectives of the association whatever the individual believes them to be; it would be well for a majority to be "elder statesmen" of the profession - respected and well-known for their devotion to, and work on behalf of, the profession. They must bring to the Council's work a particular expertise and one, ideally, that reflects some of the interests of a particular sector of LISA practice and membership interests. They must possess time enough to voluntarily undertake much work both at home and away from it for the association. They will need to have managerial expertise, although with a full-time (and perhaps paid) manager in the headquarters this experience becomes less important. In the end however, whatever the qualities deemed to be required, the association has no choice but to work with the skills and expertise that the membership provide through elections of the Councillors. What is not required however, are time-serving individuals only interested in having their name appear on the association's note paper or prospectus and whose only motivation is personal ambition - although with this, taken along with other motives, there is nothing wrong.

4. Council - relationships

In addition to being the "legal face" of the association and being ultimately responsible for decisions on policies, activities and financial management - all of which are concerned primarily with the association's internal management - the Council also has to guide the association's work with bodies external to it. Particularly are these governments - both local and state. In an effective association these relationships will be subtle and probably complicated and for their successful operation consumate political skills will be required.

There appear to be two extremes for these relationships with a wide variety of mixes between them. At one end are relationships where associations are very close to government where they are perceived as being expert advisers to be consulted on major issues by the relevant government ministry or department. Judgment of the success of this type of relationship is based on how much, and how often, the advice of the association is taken and realised into government policies and actions. In such extreme cases the association may benefit from government support in terms of human and financial resources.

At the other extreme are the associations and governments' departments firmly independent of each other with government taking the view that there are many organisations with which it could consult - many with opposing views - and the government will take the final decisions either in consultation with, or without, the associations. In such situations associations are forced into the role of pressurising government along with the other bodies in order to get acceptance for its views. This encourages them much more into being lobbying bodies or pressure groups of associations onto governments. In such situations an association is unlikely to

be financially supported by government; nor would it be likely to want such support for fear of comprising its independence. Between these extremes are a range of comprise positions. A Council needs carefully to consider, in the political environment in which it operates, what position it will adopt.

5. Council - operation

The size of the Council and the range of interests it represents and the number of activities with which it is involved, will to some extent, influence the number of times it meets. The full-time work of members, the distances that they have to travel and therefore the costs of calling the Council together and, of course, the business to be transacted will all be factors weighed in making decisions. Its responsibilities are unlikely to be so small as to permit it to meet regularly to supervise and co-ordinate the day-to-day minutiae of the management of the association - hence the need for a sub-committee of the whole to be responsible for day-to-day decision-making. The Council's primary responsibilities therefore are for policy setting and direction and for programme development and control and the sub-organisation for its day-to-day implementation.

As the Council will be a relatively formal body there is no disadvantage in it conducting its business formally. The larger the number of members the more need for, and benefits from, formality. To conduct its business it will need a Chairman and a Secretary whose functions it will be to call meetings, prepare the agendas and take minutes - which, as we have already noted, need to be accurate accounts of the business transacted and to record the agreements reached. On major decisions the balance of votes needs to be recorded and even, in a recorded vote, (for instance on a contentious issue) the names of those voting for and against a motion. If the association is involved with large numbers of activities then the Council's agenda requires careful construction to permit full-scale debates on major issues - such as policies and resources - and only to formally agree and endorse decisions made by its sub-organisations when they are authorised to operate with limited executive authority. To ensure that business is properly conducted Standing Orders are desirable. From them each member will know what can, and cannot, be done and will understand how the Chairman will conduct the meeting so, if desiring to participate, the Councillor can plan the contribution and intervention beforehand. The behaviour and operation of the Council will help form, to a large measure, the judgement the people outside it have of the association.

[A set of Rules of Procedure as an example, are at Appendix I]. The decisions of Council should be communicated to the membership regularly as reports of its work in the newsletter or journal.

6. Council - makeup

How the Council is formed will depend, as we have already noted, on a number of factors. Firstly the political environment of the

country; secondly the manner in which political processes operate; thirdly the structure of other similar organisations in the country. Members of Council should be elected and, ideally, elections should be open to the association's whole membership even if only certain sectors-representing particular areas of practice or specific geographical areas - are involved at any one time. By this method the openness and the democratic qualities of the association can be demonstrated not only to potential members but also to governments and others with whom the association will conduct its business. If elections are the method by which the Council is formed then care should be taken to ensure that its entire membership is not changed at any one time. Continuity is required. Elections need to be by secret ballot and the methods by which this is done need to be carefully planned and controlled. Rules for nomination, ie the numbers required and the sectors of practice or the geographical areas from which they are to come, require careful formulation. The dates and whole election process requires careful thought and planning to take into consideration such matters as possible postal delays. A date for the election count, the manner in which it is to be carried out and the appointment of scrutineers to monitor and watch over the operation and record their approval that association procedures were strictly followed all need to be established. The actual method used to record and count votes will require selection. Whether it be a simple majority of the votes cast or one of the other and various methods of proportional representation is not for comment here. Finally the rules and regulations and dates for deadlines for particular actions all need to be well publicised to the membership.

7. Executive Committee or Bureau

As we observed in Chapter 3 when examining structures, there is often a need, created by the amount of business of the association and the size of the Council, for a sub-set of bodies at the national level to be established below the Council itself. The most important is an executive board or polit-bureau whose most important function is supervision of the day-to-day running of the organisation. This it can undertake because it is small and will meet regularly - possibly once a month. Council will be required to formally delegate some of its authority to this executive body or bureau. It should have four major functions:

* to conduct the day-to-day and routine business of the association or where staff are employed, to monitor and advise them on such matters;

* monitor and manage the finances and take decisions on resources or advise staff on these;

* approve policies and activities where decisions are urgently required;

* provide direction to programmes and activities being undertaken to implement them;

* co-ordinate policies and the work of other sub-organisations - particularly if they, too, have measures of limited executive authority - and specifically with regard to the allocation of resources.

If the Council is the Parliament, Congress, or Praesidium then the Executive Committee is the Cabinet or, Council of Ministers and its Chairperson is the association's Prime Minister. This analogy will help to an understanding of the various functions attached to the post. Who should be elected Chairperson by the Committee's other members - peer-group selection being the most satisfactory although not the only means of finding a chairperson for what is in most situations a rigorous post - should be the business of its first meeting.

The Committee itself, which will benefit from being small, must be composed in the main of members of Council. How they are selected or elected will depend on the size of the association and the amount of work it conducts. If it is large with many activities it will need in addition a series of sub-committees or Standing Committees of Council. If this is the situation then the Executive Committee will do well to be formed from the Chairpersons of these Standing Committees - given the functions they have to perform. If however this is not the situation then its membership needs to be selected by, and from amongst, Council members. Ideally the processes by which the Executive comes into existence should be a 'bottom up' approach rather than 'top-down'. This committee too will require servicing by a calling of meetings, the provision of agendas and the production of minutes. This could be a function of a Secretary - a paid member of staff if one exists - or an elected Honorary Secretary selected from amongst the members of the committee.

8. Sub-organisations

If the Association is large or active with much business to conduct then below the Council, but responsible to it, there will need to be created sub-organisations at a lower level. These are likely to be known as Standing Committees or Sub-committees or Working Parties, Boards or Tasks Forces. They will have the following general purposes:

* to relieve Council of much business, of a detailed nature, better undertaken in bodies with smaller memberships;

* to provide fora for expertise from elsewhere - mainly other sub-organisations of the association;

* to establish fora to provide expertise and advice from outside the association and not available to Council from amongst its own membership;

* to provide an avenue for representation of the geographically remote sub-organisations and specialist-interest groups of the association where considered to be beneficial and relevant;

Standing Committees, Sub-committees, Working Parties (and Commissions or Task Forces) Boards and Panels will require clear definitions of their functions. They might be as follows:-

Standing Committees of Council - should be established by Council to advise Council on policies and other matters in the areas assigned to them. Subject to the need to seek prior approval from Council for major changes in policy and for decisions which have significant costs and staffing implications, each standing committee might have delegated authority to act on matters within its terms of reference.

Sub-committees - may be established by these Standing Committees, subject to the approval of the Executive Committee, to assist on specific matters referred to them. The need for sub-committees should be reviewed annually as the length of their life need not be pre-determined but should be consequent upon the work and monitoring roles assigned to them.

Working Parties - may be established by committees or sub-committees. A working party for very specific purposes should not be appointed for a period in excess of 6 months except with the consent of the Executive Committee.

Boards - may be established by Council on the advice of Standing Committees. Boards should be placed under the authority of a standing committee and should report to that committee. They may be appointed in circumstances where a measure of independence from the parent committee is appropriate.

Commissions - usually will have the same definitions responsibilities and terms of reference as working parties.

Task Forces - should also have similar terms of references and responsibilities as working parties.

Panels - may be appointed on much the same terms as working parties although they are likely to be less formal in the ways in which they work and therefore may have little legal standing.

Editorial Boards - will be required to manage the publication of any journals, newsletters or monographs. They shall have a measure of independence to develop publications free from too heavy an association influence.

Definitions such as these should be included in the Byelaws to ensure their legitimacy and the status, the memberships and work of these bodies.

Standing Committees should be established to deal with only major sectors of association involvement i.e. education, bibliographical activities, standards, salaries and conditions of service, continuing education, membership services etc. In passing it is worth noting that if the association is large enough to justify, and to be able to employ staff (in a full, half-time or honorary

capacity) then their responsibilities, and any departments that are established to assist their work, might well reflect the standing committee structure of Council itself.

If advice or expertise or the representation of outside organisations, ie another professional organisation or the national library or archive office or a government department, is required then the machinery enabling this to occur is usually by **co-opting members** or inviting **observers.**

* A Co-opted member shall have all the rights of a full member eg. expenses paid (when this applies), the right fully to participate and to vote. Normally some restriction on the maximum number of co-opted members needs to be agreed by Council with any exceptions only approved by Council or the Executive Committee. It is not normal to have co-opted members or observers on Boards.

* An Observer will be exactly that. Such a person will have no formal rights of intervention or to vote although chairpersons may relax the rule regarding participation in discussions. Their attendance shall be at their own, or their organisation's cost.

9. Summary

A number of points, finally, should be emphasised; despite the sub-structure below Council - of Standing Committees, Sub-committees, Working Parties (Commissions or Task Forces) and Boards - ultimately it is the Council that is the final authority. Also that one of the Executive Committee's functions is the co-ordination of the work and interests of the Standing Committees and through them the Sub-committees, and Working Parties etc. and that these will normally report to, or be the responsibility of the Standing Committees that established them. They will not have direct access to Council except through their parent organisation or through the Executive Committee. These rules should not be ignored otherwise chaos in the governance of the association will ensue.

CHAPTER V

OPERATION

INTRODUCTION

We have examined the background to professional associations; their roles and functions as professional organisations, the various elements required for the successful organisation of an association and, in the last chapter the governance of associations. In this chapter we examine their operations.

1. **Officers**. Obviously there can be any number and their functions and responsibilities can vary widely depending on their situation - not only of the environment that we have tried to relate associations closely to, ie the national political, social and cultural environment - but also on the aims, objectives, policies to be implemented and the activities identified for the association. National statutory requirements may even lay down in law the posts required in an association. So what follows can only be the merest guidance from which assistance it is hoped that associations will be able to learn something useful for their own development, and the amendment or alteration of current practices and procedures as necessary to suit and conform to their own particular needs.

   Officers can be elected or appointed. They can be honorary and un-paid, they can be partially remunerated with a token payment in recognition of the value of the work they do or they can be paid for the actual work done and/or the hours occupied on a part-time basis. They can be salaried and paid full-time in which situation they become members of staff. Here a distinction should be made clear. Officers as refered to in this Guideline are people elected by the membership, or nominated to hold an office in the association and to perform a particular function. Members of staff are not elected but appointed to a post and paid to fulfill specific duties. The method selected will obviously depend on the financial state of the association and the scale and range of its interests and activities.

   The election of honorary and un-paid officers is obviously most desirable for the benefits this bestows, namely that they can be removed by the electorate if performance fails to reach expected and identified standards. Elections may be by the whole membership or by a smaller group of already elected representatives or officers. It is not desirable for no officers to be elected nationally - in such situations are cabals formed and more importantly, do the membership feel, rightly or wrongly, that their influence on the association is proscribed. Nevertheless neither is it desirable that all posts be opened to election by all the membership for the reason that they cannot all be expected to have enough intimate knowledge of the qualities of an individual required for a particular post - for instance chairperson of a select or special committee. Here elections are best undertaken within that particular sub-organisation.

Ideally those posts open for election by the whole electorate shall be those that have a high profile, for instance that they may be expected to represent the association on formal state occasions or in negotiations with governments or that may have significant roles to play in the overall governance of the association such as management of the associations' financial affairs or the chairing of its supreme council. For the election of such posts as chairpersons of committees it is usually best left to the committee members themselves to choose - they will know most intimately the virtues and abilities that the job requires and what the individuals standing have to offer.

Non-payment, or token payments in recognition of the responsibilities and tasks undertaken by office - holders, where these are permitted, will depend on the financial health of the association. It is firmly recommended that if any money is available it should be spent on the employment, full-time or part-time only if that is all the available money will permit, of one member of staff. That staff-member, particularly if the work is concerned with the administration and management of the office or secretariat of the association, will be worth the money spent in that the appointee will be able to ensure the permanent address for the body (to which subscriptions can be sent) and that important work (details later) is actually completed - a task difficult to ensure if it is undertaken voluntarily.

However if funds are limited, as they are in the majority of associations, then considerations should be extended to part-time employment either on an hourly-contracted or on a half-day or similar basis. Much the same benefit can be expected to be gained from either solution. If neither of these alternatives are possible then posts should be filled on an "honorary" basis. By this term is meant that the post-holders normally perform the work free and without remuneration and in an honorary capacity - usually as part of a person's commitment to the profession at large, and a belief in the value and objectives of the association itself.

If the honour is considered not to compensate entirely adequately for the responsibilities and work undertaken then an honorarium in recognition of this, as a token of gratitude, can be paid. It is not usual, however, for some-one in high office to receive such an honorarium. Representing the association and being elected to this particular office is usually accepted to be reward enough in itself.

2. Officers

The **President** is usually the 'flagship' of the association representing it on formal occasions. As a person elected for anything from a 1-4 years term of office it is normally a senior and highly respected member of the association. Some people consider it best for the President not to be too involved in the association's professional and political processes. However it will depend on whether this 'Head of State' role is perceived as a US or French styled presidential post or like the Federal Republic

of Germany's President or the Queen in the United Kingdom. There are arguments to support both views but a strong one may be that it is best for the President not to become too involved in the rough and tumble of professional politics and that it is best to keep above and out of them. There may be one or more **Vice-Presidents** to provide continuity in case of a vacancy or illness.

Chairperson - Next in rank comes the Chairperson of the supreme body - the Council, Praesidium or whatever is the name by which it is known. In some organisations this role can be performed by the President depending on how much an association wants its Head of State embroiled in the day-to-day turmoil of the association's affairs. If the person who chairs the Council is not the President then this post is as important, and for the same reasons, as the Chairperson of a chamber of Parliament or Assembly or Congress. If the post is not to be brought into disrepute it must stand above party politics and be, and be seen to be, impartial in its judgements.

Executive Committee Chairperson - Normally the Prime Minister comes next in line. So in the affairs of an association. The Prime Minister's post corresponds to the Chairperson of the Executive Committee or Bureau whatever name is given to the committee with responsibilities devolved from Council for the supervision and management of the day-to-day affairs of the association. Particularly if this committee is composed of chairpersons of other specialist standing committees and also responsible in addition for the overview of policies and their co-ordination and the allocation of resources (as befits a policy review committee - the two ideally not being split from each other) then chairing this committee is a task at the centre of the political life of the professional body.

Treasurer - This is one of the other posts that makes up the quadrumvirate that heads the management of the association. This is the Minister of Finance or the Chancellor of the Exchequer. In some countries this post is elected and not nominated for the reason that because of poor performance the incumbent can be removed or replaced. If the association can afford paid staff then it is to them that some of the responsibilities of this post will be delegated. Even then, however, an Honorary Treasurer's post is required because within the association the decisions whether to finance, or more importantly not to finance a particular activity, which may be a pet project of members, is a political decision based on professional judgement and, hopefully, consultation. In the end however it is inevitably political. Because it is so it should not be left in the hands of a paid staff-member to face the electorate with such judgements and decisions. That is a role for an elected member.

There is likely to be a need for a range of other officers' posts but what precisely these are will depend on the work requiring to be done. This Guideline can therefore, from this point on, indicate options, some of which will be taken up as and when specialist work requires it.

The production of records of meetings and the management of the agendas, the management of financial resources and the operation of all the other routine tasks of an office such as membership records, the production of a journal of communication, and such statutorily-imposed tasks as arranging and calling the Annual General Meeting and elections for posts and the production of an annual report are usually the responsibility of a **Secretary**, a Secretary-General, Executive Director or Director-General or whatever title might be given to the post. This may be an Honorary post but if money is available for one post only in the whole of the association this is the place where a paid member of staff first should be placed. It is remarkable the changes that take place when this post is filled by a paid full or part-time staff-member.

Other posts, that may be honorary or paid are a **Membership Officer** one of whose tasks should also be recruitment. It is very much on the interest and dedication of this officer that the resources of the association rests. No services can be provided to recruit members or hold them in membership until money is available to resource them. Subscriptions provide that resource and the Membership Officer's job is to collect them. Always remember without subscriptions an association withers and dies.

Most associations will require a **Publications Officer or Editor**; the latter to oversee, and be responsible for, the publication of a newsletter or journal which may also serve as the national library, documentation or archive journal. The former post will be necessary if the association is engaged in building a list of publications - and in most countries library, information science and archive students require textbooks to support their studies. If a newsletter or a journal are the objectives then an editor for these publications is required. The purpose of these is to keep members informed of the services and activities undertaken on their behalf (and without which their interests in the association will wither) and carry the notices of AGM's, elections, requirements to pay subscriptions and the address to which they should be sent. It carries also news about members to members. Given that publications also can be an alternative source of revenue to subscriptions an energetic and imaginative officer with some experience of publishing can be a valuable association asset. A professional member of the association may possess the necessary very specialist expertise to perform these tasks. If, however, such persons cannot be found then they need to be bought in from outside the association.

Other post-holders may be a **Conference Officer** because the annual conference is normally a major event in the association's calender into which, quite correctly, major efforts and resources are channelled and from which possible income may be derived. If continuing education and **continuing professional development** are major services provided to the membership then an officer's post for this work might be required.

It is important to distinguish here between posts necessary to undertake specific work and functions and the Chairpersons of Standing Committees, Sub-committees, Working Parties, Task Forces etc. etc.. In these bodies the Chairperson's task may involve doing, or undertaking, an activity, but the work will be primarily to obtain agreement to policies or lines of action and these people remain, Chairpersons first and not Officers. If staff-members posts exist for a function for which a committee is required e.g. planning the annual conference, then it will be obvious that it is that member of staff's task to service that committee.

3. Responsibilities. This leads us to a consideration of the tasks of the staff. Obviously these will vary with the requirements of a particular post and will be indicated in general terms by the title of that post. They will however, also vary very widely from association to association and from country to country. As a consequence, the guidance that can be provided here can only be very general.

There are general responsibilities towards an association and its objectives that any staff-member must be expected to uphold. These include to work within the constitution, charter or byelaws; to adhere to financial policies and to work within the budgeted allocations formulated and approved by the supreme council and to uphold the dignity and protect the status and reputation of the professional body. Although these are general they should be enshrined in a contract if the staff-member is paid and also in a job description. Duties, more specific to the post, need to be evolved and agreed. There is no point in criticizing someones performance if, firstly, they did not know that they were expected to perform it or secondly, at the time they were engaged they did not have the knowledge or appropriate skills to undertake it. So great care needs to be given to the preparation of a list of work that it is expected that the appointee will perform and of the responsibilities to be undertaken.

Whatever the post and whatever its tasks a primary responsibility will be to monitor activities within the association and specifically outside it in the areas of responsibility. It is only by performing such a task that the association will know of issues to which it may need to respond.

4. Full-time Staff

Already a number of allusions have been made to the benefits of employing at least one full-time member of staff. And it is strongly recommended that if, and when, an association has any money for investment in services it should go into filling a post either part-time or full-time. The benefits must be clear. They are; a permanent presence for the association (because the staff-member will have to work from somewhere) and the secondary benefit that this provides an address to which to send subscriptions and a relatively permanent contact with whom members can communicate. The post-holder will also ensure that the necessary statutory activities are carried out, for instance, calling for nominations

for elections, the arranging and holding of elections and ensuring a fair count, the calling of the annual general meeting and the preparation of the agenda and minutes and the preparation of a newsheet for communication from the centre to the members. These must be the first and most important priorities for any part - or full-time paid appointees. There is a second and only slightly less important function. It is concerned with raising money. Any association exists on the finances it raises; without them it cannot exist. These are raised relatively precariously from a single source - the membership. However in most countries library, information science and archive professionals do not have high status and as a consequence salaries are low; therefore the money that members can spare to pay their subscriptions is limited, so as a consequence subscriptions are kept low which, in turn, results in inadequate resources to fund the association to undertake work to raise the status and improve salaries..... It is a vicious circle into which are entrapped most associations. It has to be broken. This can only be achieved by identifying other sources of income to fund work that will help to improve status and salaries. That must be therefore the second highest priority of a paid member of staff. There are many sources that can be tapped. They include a publications programme - because those progressing through professional education require supporting texts and literature and even in the poorest countries there are the respected professionals (who helped to establish the countries' LISA services and forge the association) who can be persuaded to make a professional commitment by writing the texts.

Not only should such a programme increase revenues it will provide an additional service for the members.

Services to library and information and archive services provides yet another possible source of income. They may be products like books, journals etc or promotional materials, such as posters, library and shelf guiding and stationery as well as specialist services such as bibliographies and/or catalogue cards etc. If a market exists who better to exploit it than the professional association? Examples exist in the Netherlands in the Nederlands Bibliotheek Lektuur Centrum (NBLC) and in Sweden with Bibliotekstjanst AB and in Norway, Denmark and Germany (FDR). IFLA's Round Table of National Centres for Library Services (ROTNAC) with the Round Table for the Management of Library Associations can provide further advice.[19]

Perhaps the third priority needs emphasising. It is to be the 'watchdog' for the association. As a dog guards the home, to protect it from intruders or interference, so paid staff should watch the affairs of the association and those of the profession at large, to ensure against intrusion into, or interference with, them. These can come from many sources, for instance government and proposals for new legislation or reductions in the resourcing of library, information and archive services. It can come from other professions which, legitimately in expanding their ranges of activities and concerns in their member's interests (as they see

them), encroach on the LISA professions. It can come from government or organisations at the local level, for instance re-organising the management or organisational structure in which archive or library services fit, or a company re-organising its information services or from a school placing the library under the authority of a non-qualified teacher instead of a librarian.

Similar threats, that the association continuously needs to be on the watch for, can come from within the association itself. Moves, often associated with dissatisfaction with services, occasionally arise to form break-away groups of disillusioned members, for instance objecting to a particular major policy decision, and these need monitoring and action taken to prevent any weakening of the association, which is what such a move would represent. It should be stressed that it is not suggested that remedial action in all cases can be undertaken by a member of staff - that would throw too heavy a responsibility on them - instead such situations need reporting to the elected officer responsible in order that this person can decide on the action the paid member of staff may undertake.

4.1 Responsibilities So it is obvious the importance that must be attached to a permanent presence, to revenue - generation as a second priority and to a monitoring or 'watchdog' role. However what must not be overlooked are the fundamental responsibilities that attach to any post-holder in any organisation. It might be helpful to briefly re-iterate them here. They divide into three categories.

The first concerns financial responsibilities and includes the preparation and management of the production of estimates for the forthcoming year; the operation of the current year's budget; the maintenance of records of expenditure and commitment and the production of accurate final accounts and arrangements for their satisfactory audit and approval.

The second category is concerned with the organisation of the office and relates to responses to correspondence; upkeep of an efficient filing system and the maintenance of office premises (rented, leased or owned), and its contents e.g. furniture and equipment etc. If the association is wealthy enough to employ more than one member of staff (and very few at the time of writing can afford to do so) then additional responsibilities occur concerned with personnel management. In an excellent guide produced for the Medical Library and Special Libraries Associations in the United States their Chief Executives identify seven fundamentals of good personnel practice: determination of needs; recruitment and selection; training; performance appraisal; compensation; promotion and termination. They develop these fundamentals but because they are likely to be of actual interest to only a small number of professional organisations the details, (with permission) are included at Appendix II.

Thirdly there are responsibilities for the management and operation of the association itself - the raison d' être for the job anyway. The first priority within this area must be to perform the activities required by the Charter or document of establishment. This work includes the calling, arrangements for, and management of, the annual general meeting and for calling for motions (as will be laid down in the association's regulations) and the preparation of the agenda. It includes calling for nominations for the annual election and its organisation as well as the count and supervision of it as will be required by the byelaws. An annual report is also often required by the statutes and whether so, or not, the membership have a right to expect one as a means by which they are kept informed. The other is by a regularly-published newsletter or journal (when no editor specifically for this purpose is engaged). Another responsibility of the staff is the upkeep of the file of membership records.

Whether the office has more than one paid member of staff and the honorary posts already mentioned or no paid staff and all the officers performing in honorary capacities, there is a need for precise and carefully prepared job-descriptions. Obviously in the case of paid staff they can then serve as the basis for an annual interview during which the staff's performance is reviewed against the job description and changes discussed. For honorary officers future pay (particularly if the performance is not satisfactory) is not at stake. Nevertheless it does provide some measure against which assessments of performance can be made. This can be a useful gauge for the membership at election times and should be of use to the officers themselves. For non-paid and honorary officers it may seem a severe regulation but it has the additional function of ensuring that officers, particularly when new in post, know what areas are their responsibility. It also ensures that no duplication of interests takes place with the possibilities of this leading to friction in the future, and ensures that no area of importance is left uncovered. For the future good management of the association it is worth spending some time in the Executive Committee each year reviewing job descriptions.

It is not necessary, nor is it desirable, here to provide outlines of responsibilities for each officer or member of staff. In any case they must differ from country to country, from profession to profession and from association to association. It is perhaps just necessary here to briefly register a reminder of the broad and significant areas for which officers or members of staff need to take responsibility:

* management of the supreme body or council and its executive committee;

* for finance and accounts;

* for publishing a newsletter or journal;

* for membership and recruitment.

* for those tasks required of the association by statute or the charter and bye-laws.

There are a host of other professional issues and activities for which members of staff or officers are required. These may not be honorary officers but committee chairpersons or they may have dual roles, the former resulting from the latter. These can be:

* education, continuing professional development and training;

* international affairs;

* information technology;

* bibliographical interests;

* freedom of information and the right to read and to know;

* salaries, conditions of service and members' employment concern.

There can be many others depending on the range of interests of the association and the environment in which it works.

4.2 Organisational chart Even if the association is relatively small with no paid staff, in addition to the job descriptions, an organisational chart is a useful working tool. Council members, the membership at large and other staff can observe and know the shape of the organisation and how each part relates to the other. This is especially important to relate sub-structures and the delegated authority of working parties and sub-committees etc to the Council and to relate the responsibilities of officers or staff-members to that Council and to the committees and sub-structure. Confused lines of management can develop especially in a body composed of honorary officers, and an organisational chart, such as this can help to clear any lines that possibly may lead in the future to confusion.

Reference

19. Note. Contact IFLA Headquarters, POB 95312 2509 CH The Hague. Netherlands.

CHAPTER VI

PROGRAMMES AND SERVICES

INTRODUCTION

An indication of the programmes and services that associations can supply to their memberships have already been given as examples in the text of this Guideline. In this Chapter it is the intention to try to be more precise. However, as each association must be responsive to its members' expressed needs the examples cannot be too specific. Each association will possess a different character so the programmes and services exemplified here still can only be indicators. Nevertheless there are some - marked by an asterisk [*] - that it would be strange to find an association without. Strange, because without them not only would the organisation experience difficulties remaining in existence but also would it be unlikely to be capable of meeting Flexner's criteria.

At one of end of the range of services that it is possible for associations to supply are those that are most beneficial to, and required by, personal members. At the other are those of most benefit to institutional members. In the centre, between them, are a range of services where it is difficult to be so specific because it can be argued that to different degrees they provide benefits to both. For instance, an association's work to improve a cataloguing code is obviously of assistance to those members employed in catalogue departments and using it daily, but it will also help the institution in which the members are employed because they should, by using it, catalogue more speedily and efficiently. Probably it is possible to relate benefits more closely to services, and by doing so assist associations and their members to know better how, and where, money and efforts are being directed, by awarding points against a set of criteria such as those employed by Maslow in his 'hierarchy of needs'[20] but it would be a time-consuming exercise hardly likely to justify the use to which the results might be put.

1. Personal services

1.1 Careers advice This is an important activity because all professions are in competition for the best quality candidates from educational programmes the majority of whom usually opt for the popular professions such as medicine, law, engineering, architecture and accountancy. Improvements in the professions' performance, reputation and status to a large extent depend on the earliest stages of associations' recruitment. Publicity materi .l will be required for display in careers' conventions and meetings - whether at schools or jointly organised gatherings - although care should be taken not to disperse energies too widely but concentrate them on large gatherings or where the potential for high-quality recruitment is greatest. Publicity material can range from simple but persuasive and eye-catching printed material through to stands on which to display it - best professionally designed if possible (because for many it will be their first contact with the profession) to such sophisticated presentations as tape-slides or video productions.

The material needs to convey the messages of the attractiveness of the work, the responsibilities to users (an important selling point to young people with high ideals) the excitement of the profession, the warmth with which new members will be welcomed into the family, some examples of the types of work professionals undertake, the range of services provided and the sorts of jobs to be expected with an indication of salary ranges and positions available in management hierarchies. This work can sometimes be more effectively undertaken when done jointly with departments or schools of library, information science and archive studies.

1.2 Education*

The stage of development of the profession and the user-services it provides will indicate the levels of education required. In some countries where the profession is still young it may not be above diploma level or immediate post - secondary schooling. In most countries professional work is recognised as requiring a university or similar institution - based degree or qualification. In such situations the professional bodies' role is limited. In some it is non-existent but this is not a satisfactory situation. Whichever came first - the educational programme or the professional association - they should work together in harmony. After all their primary goals are similar - well-educated people out of the programme and into LISA services.

A department or school will owe its first allegiance to the university or higher educational institute of which it is a part and it will draw much of its teaching strengths and resources from other departments in that institution. It will be therefore a constituent part of its parent body and that is where its first loyalties will lie. Nevertheless the association ought to be in a position to point out to it some of the benefits that co-operation with it can bring. They are the expertise of the more mature members, ideas on the profession's requirements particularly into the future, results of policy formulations and the facility to assist students from the educational programme into jobs. There are many others that can result from joint explorations. Ideally the institution should welcome the support of the association although it may have to be worked at and won. It must be supportive and not interfering. If the association, as part of its own membership requirements, also recognises the institution's academic qualifications then it has a legitimate part to play with the institution. This can be in formal accreditation procedures - although years of work to earn mutual respect will be required before this is acceptable - or it can be simply an occasional visit. On such occasions the association should know what it is examining and manage the visit efficiently otherwise it will lose the credibility of the academics visited. Few LISA associations, except The Library Association in the United Kingdom, award qualifications of their own. In such a situation the academic qualification then becomes the first step towards that professional goal and legitimate and strong ties have developed between the Association and the departments and schools.

Where no academic body awarding a degree - level qualification exists then it is the associations' responsibility to move to encourage one into existence. If no professional qualifications of any sort exist then the association should step in to fill the gap with a programme that is less academic and more practical in its orientation. It should award a certificate at the end of the course and it should aim, within the targets it sets itself, the very highest standards. If it is possible, before the first candidates emerge from off the course, it should have negotiated with government and other potential employers grades and salaries that the students might expect to receive in their first jobs after leaving education. By way of an example John Dean explains how this was done in Nigeria[21]

1.3 Continuing professional development*

This can embrace a range of activities from short one-day courses through to a structured package of basic courses held over longer periods with satellite courses to provide a range of options. Their organisation need not, at least in the early stages of the development of the programme, be complicated. They should have not only the objective of providing a service for members but also aim to make a contribution to revenue to compliment subscriptions. In the early years, and during the development of an association, it should be possible to encourage the 'elders' to contribute their time, skills and expertise free or for a low remuneration whilst there are no good reasons why a market - rate charge should not be levied on those attending. This should certainly be at a level that the market expects to pay for continuing education services for example in the fields of management or other professional skills. Discounts to personal and institutional members have the benefit of making membership of the association appear attractive and worthwhile.

The purpose of continuing professional development programmes are to provide:

Knowledge update. These are events which provide information and stimulate debate about issues effecting library, information services and archive provisions:

Skills update. Are designed to enhance information service skills in relation to:

* managerial skills, e.g. objective setting, work planning, evaluation of services etc;

* interpersonal skills, supervisory or team based, customer care and service skills;

* material handling/technical skills such as online searching, Anglo-American Cataloguing Rules (revised editions), geographic information systems, preservation innovations, disaster prevention etc.

Developmental. These are activities intended to widen the ability of professionals to provide and develop best practices in service design and delivery. They are essentially concerned to develop political skills within the membership and in their relationships with funding agencies, controlling committees etc etc.

Credit - rated events. The changes in accreditation of units of study leading to formal qualifications creates an opportunity for an association to provide modules linked to units organised by other institutions.

Identification of themes/subjects for continuing professional development is made through the channels of expertise present in the association, its sub-organisations, committees, working parties, task forces etc. The programme should reflect the interests of the membership.

New information. The speedy take-up of information technology and the implications of government - introduced legislation are all subjects on which professionals in senior management positions require new knowledge.

1.4 Seminars and Conferences*

These are also areas of service provision that should generate revenue. The conference, on an annual basis, is in most associations almost a statutorily required event in that it provides the opportunity to present to the membership the annual report of the previous year's work and the audited and approved accounts for the same period. Usually associated with these activities is the address of the President and possibly that person's inauguration and other ceremonies such as the honouring of respected members. The annual conference, as opposed to others held occasionally for other professional purposes, should not be charged to members at a rate that will discourage attendance although often it is possible to associate with it an exhibition or display of books, media, library equipment and furniture, information systems and products etc etc from which revenue can be earned by renting out stand space. Conferences and seminars may be organised at any time of the year but usually for a specific purpose such as to discuss a new government policy or initiative. In circumstances in which new knowledge is made available, such as explaining to attendees the implications of new government legislation, then the association should have no quarms about selling this service. Care should be taken when the association requires or desires participation from the membership, in order to obtain its views or to help with the formulation of policy, not to charge more than the costs of organising the event. After all new knowledge is not being imparted by the association, instead, it is obtaining views from participants to help the association - more than the participants - to formulate its opinion. Charges should be kept in these circumstances to a minimum.

It is useful in a programme of continuing professional development activities to differentiate between them. **Seminars** usually are participative meetings of no more than 25-30 people and normally concerned with updating and extending knowledge. **Workshops** are events, often directed by one person, involving a group of 15-25 people with the objectives of skills development but also including knowledge update. One-day **Courses** are used normally for information giving or consciousness - raising events related to topical issues and aimed at audiences of 25 plus (with a maximum of 50-60).

Short courses are events that take more than one day and are normally non-residential. **Linked learning packages** are more than one event with a common theme. They may include different modes starting with a basic or foundation-day to be followed by satellite events, which can be full or half-day courses spread over a period of time. **Conferences** are events usually of more than one activity arranged with the purpose of sharing knowledge. Every opportunity should be made in providing such services to increase revenues or at least off-set the majority of set-up costs.

1.5 Salaries and conditions of service work

These services are concerned to assist members to obtain the correct remuneration for the work for which they have been engaged and the relevant conditions of service such as working hours, amount of leave or holidays and benefits such as travel loans or a subsidy for housing or removal expenses. It is often difficult and time-consuming work in that advisers in the association must have an almost comprehensive and detailed knowledge of work and employment in any particular sector. However it rates high in the range of member satisfactions. The knowledge accumulated from being involved in this work should provide the basis for an advisory pamphlet which might be sold.

Work like this takes the association very close to the functions that trade unions normally undertake and to the edge of negotiating situations with employers. Because of these situations in some countries associations may decide that this is not a fruitful area in which to work. If they do however then there is another service that can be supplied to members that relates closely to it.

1.6 Job market and career development

If an association has gained considerable knowledge and experience in the salaries and conditions of service areas of work then it is not much more than a natural extension of these to establish a register of vacancies in the library, information and archive services areas of the market. Employers who satisfactorily recruit staff through it can be expected to pay a commission to the association for use of the service. For members no charge should be made thus providing a single service to two different sectors of the membership albeit at different prices to each. This work also produces a secondary benefit in that it permits the profession more easily to monitor the salaries offered and the range of conditions

of service provided and so assists that area of work. It should also be remembered that comparisons of salaries and conditions of service are a common, if not altogether satisfactory way, of obtaining an impression of the status and reputation of the profession and its members so this work can have even greater importance.

1.7 Newsletters and journals*

More than a personal service a newsletter or a journal are almost necessities to promote the health of the association because they provide the lines of communication that hold a membership and the central office together and permit contact between members. Without one or other of them the association falls apart like bricks without mortar in a wall. Journals are the cement that hold together the memberships of associations. Invaluable advice on starting a newsletter - modestly and unambitiously at first - is provided in an informative and easily read guideline published by the IFLA Round Table for Editors of Library Journals.[22] It is worth reading for the lessons it teaches about the necessary and basic contents for a newsletter such as the official and statutorily required information, the need for a 'people' column for members to learn of information about colleagues and a place for professional information on such matters as technical developments. There should be a letters column. The Round Table for Editors of Library Journals guideline stresses the need to start small and then allow the newsletter to expand into a journal. Ambitious plans to aim at the start for a high-quality journal have often resulted in the death of the project itself.

When enough experience has been accumulated and when enough writers of quality have been identified then the development of a learned-type journal might be considered. But before embarking on such a venture the association should be certain that there is a market for it, enough writers of high calibre and an adequate administration in the association.

An alternative would be to provide a franchise to a professional publisher likely to ensure the journal's publication regularly and on-time. An association published journal can be made available on a subscription basis and therefore be a source of revenue so long as a newsletter is circulated freely as a member-service provided from the subscription.

1.8 Information services

Particularly in countries where library, information services and archives are still relatively new or where the professions themselves are still young then an information service from the association to those in the field can be of immense value in recruiting and retaining members. It also helps incidentally to improve standards of service to the public. To organise this from an independent office or as a formally-established information service is unlikely to be possible because of resource constraints.

It should be possible however to graft it onto other association services so that it becomes an adjunct of some of those already considered, such as education or continuing professional development or salaries and conditions of service work. Where this work is undertaken by honorary officers from their own homes or their own employment bases then an arrangement must be made to publicise an address or contact point. By information services is not meant a sophisticated service worthy of an information-science prize but a simple operation capable of providing a gate-way service for those who want to learn of professionals with particular experience from which they might learn or who might have introduced a new piece of equipment or had experience of a similar specific situation. The introduction of computerized systems or new information technology or operations based on them are examples of where such a service is much appreciated. Where resources exist an ideal would be an information service provided by the association based upon a register of expertise made available by exploiting the new technology itself in the form of a database, for instance, of individuals' expertise. Communication channels might be through electronic mail or messaging with, of course, suitable safeguards to protect the use of the data held as well as by more orthodox means.

1.9 Code of conduct*

This is not always thought of as a personal service but its concern for the public user and then the professional and then the employer - in that order - and their relationships does make it a service as well as an instrument to manage the profession and indicate its importance as a professional body. A code's existence meets Flexner's sixth criteria namely: "they (professionals) are becoming increasingly altruistic in motivation." It is a service because it provides guidance, as we have discovered already, to a professional as to where his or her first responsibility lies. As an example a code from one professional body is included at Appendix III.

The code provides not only useful guidance to the association's personal members but also to employers - who may be institutional members - by making them aware of what their employees may or may not be expected by their professional body to undertake. More importantly however it is a guide to the users of the services the profession provides to indicate the manner in which it supports their requirements. In any battles for recognition of the status of the profession a code is an important weapon.

2. Institutional

The reader should be reminded that a distinction is difficult to make between institutional and personal services because many services to personal members also benefit institutions to varying degrees.

2.1 Standards*

Standards related to the provision of services are probably one of the most valuable services an association can provide in so much as

no organisation more relevant than that of the profession can assess the needs of users and from them define levels of satisfactory service provision. Different standards obviously will be required for archives, libraries and information services. Within these professions different ones again will be required for different sectors of service such as for libraries in local government, academic and colleges of further and higher education, for government and research libráries and for those in primary and secondary schools. They will be required for information services if they are provided separately from library services and particularly for those in the business, commercial and industrial sectors. They will be required for archives in the public sector at national and local levels as well as for those in academic institutions or in private hands or trusts. In some instances standards can refer to smaller and more specific units of service such as reference services from public libraries. Whether they are called standards or guidelines is relatively immaterial. There are those that argue that the days of the profession being able to effectively dictate standards of provision and expect employers or governments or parent institutions to pay up money to meet them is long past and therefore guidelines is a more acceptable word and one that is more politically realistic.

What should be included in a guideline or standard will depend on the use to which it is intended that it will be put. The following areas of services should be covered. Stock - including the range, size and scope considered necessary to meet the requirements of various sections of the public, including children and young readers, adults - from hospitalized readers through to the aged and housebound, to those with the national language as first language and whose culture is that of the indegene, to those for whom the national language is strange and who have their own different cultures. Not only the range of services but also the modes of its delivery should be included. The numbers of outlets and physical access to them should not be overlooked. The provision of aids to assist use of the services such as bibliographic tools and descriptions of access to catalogues are details which may be included. The institution's role in meeting its national responsibilities, for instance for inter-lending and use by commuters and those residing outside the closed circle of the institution for which the service was primarily instituted, also need to be included. Space requirements to house stocks, services and staff will need to be considered as well as the spatial relationship of one area of service provision to another. In all these considerations will attention need to be given so as not to overlook the areas "backstage" for the use of technical staff. At the end of the consideration of each section it will be necessary to arrive at some calculation of costs of provision if the recommendations are to be achieved and the cost of implementing the guidelines in toto known.

How standards are arrived at will depend on a number of factors not the least of which will be the approach to their preparation. This will be conditioned by the organisation for which they are being prepared and the funding agency of the services under review. In

the past standards were set high and were little more than ideals scarcely relating to the realities of the situations on the ground. It is hardly surprising that they were not only rarely reached but that in some circumstances they commanded scant respect. Lessons were learned so that today guidelines (rather than standards) are based on actual situations, using examples of current 'best practice' to encourage others to attempt to reach them and for those currently operating these best practices for them to notch up their services by a realistically attainable level of improvement. In this way the standards of those with low provision can be improved without the danger of reducing those with the highest that are serving as exemplars to the others.

2.2 Resourcing*

Standards and guidelines are successfully implemented when they are based on agreed aims for library, information services and archives that are adequately resourced. A single service might be successful in agreeing with its parent organisation for resources to improve services to meet the agreed standards but to lift levels of provision of services for whole sectors, whether they be academic, public, college and higher education or any other sector, is unrealistic without co-ordinated and long-term strategies. It is for these purposes particularly that guidelines are required. Governments and funding agencies will listen to arguments, although they may not necessarily at the first request provide more money for the better resourcing of sectors of service, when they are supported by cogently argued cases with evidence of successfully applied standards. That aim, to argue for whole sectors, must be the work of the association and its constituent parts, including individual members, all of whom will be able to use the guidelines as the basis of their arguments. Because governments never have enough money to respond positively to all demands for increased resources it has to make decisions - particularly not to acquiesce. It is the association's role, using its guidelines, to ensure that the services that it represents are not amongst those to which refusals are made.

Arguing for resources is not a one-off exercise because patterns of need change to reflect, as they do, the needs of users and as a consequence so do the standards considered necessary to meet these requirements. The situations in the various sectors require continual monitoring to identify where resourcing is falling short of needs and, if this is relevant, why and how user-needs are changing. It is only by maintaining the ability of the association to convince governments and funding agencies of its knowledge and concerns for resourcing that it will win respect and, even if not always obtaining agreement, at least get acceptance by government of the arguments advanced by the association. Personal members are an invaluable asset available to the association by which such objectives can be achieved.

2.3 Legislative change*

Government's job is to govern and it appears to commence the government of specific matters in the legislative chamber. It is a role for professional associations to watch governments' future programmes and endeavour to play an advisory or regulatory role and where proposed legislation - new or changed - relates, centrally or only peripherally, to libraries and information services to attempt to influence the course and direction and final decisions on the legislation, using the recognised democratic processes to do so, to accord with associations' members' desires. Not to do this, in many cases, is to leave the field open to others so to do. The professions, with a few exceptions, mainly in the United States and some eastern European countries, have been slow to understand the significance and potential gains from such activities. At least in the first instances, such work is not easy and there are various stages of it to be undertaken.

Archive associations are not included in this grouping because, public archives cannot operate without an Archive Act so it is most unlikely that legislation affecting the operation of archives will be undertaken without government consulting the associations. Where this does not hold good or where the archive laws are obsolete or inadequate then the same operations as the library and information science associations need to be undertaken.

However as a first step means need to be found to obtain reliable information not only on the timetables for the government's legislative work, from month to month or even week to week, but also of the protaganists and opponents of each legislative issue. Having discovered those legislators whose views most accord with those of the association means then have to be found to make contact with them to try to win them to the association's viewpoint. Making initial contact with such people is not easy. It becomes easier once the association has had its name and existence recognised from earlier similar occasions. Much will depend on the personal contacts of members and these need to be harnessed in the associations' interests if progress is to be made. When the subject that is of specific concern is on the floor of the chamber for debate the association must provide all support for those who have agreed to intervene on its behalf. Such support will normally constitute draft questions or points to be made and statistics and facts. To misguide or misinform is only to damage the image and the reputation for integrity and efficiency of the association for the future. Throughout the legislative process the association will need to continue to lobbby members (both for, but particularly those against, the measure) as well as being effective outside the legislative chamber, for instance, on radio, television and in the Press. Incidentally contact with the media is improved when issues that involve you and your association come before it from the legislators rather than when the association seeks its interest on one of its concerns. A secondary benefit for the professional organisation from such involvements is a heightened image and improved national profile.

There is a stage however, even before business reaches the floor of the legislative chamber, of which the association needs to be aware. No enactment starts from the floor without any previous preparation. Drafts are prepared earlier in government departments or ministries. So a pre-legislative stage of lobbying is required. It is often the most useful. Its processes may be formal or informal. The formal process is characterised by the publication by a department or government ministry of a consultative paper (in some countries known as a White Paper) which may be directed specifically to organisations recognised by Government as having an interest in the subject or it may be simply made available with the Government's general request for comment and amendment. Very often, at this stage, the government's civil servants are casting around for positions on specific matters to be included in the legislation and their minds may be relatively open to influence by rationale and cogent arguments. This is the time to act. Often when legislation is framed for debate in the chamber minds are made up and positions taken up so that change in, or movement of, them is difficult.

The informal processes are more difficult to discover and generally require first-class and close contacts with civil servants and with people who have an entree into government circles. Again, once the entry has been gained and the necessary contacts made, the influences that can be exerted are sometimes quite startling. It should never be forgotten that just as you, for instance heading an association working party, are faced with a task of identifying and focusing a policy so are the civil servants. Caught at the correct moment they will listen. Similarly the legislator will want something to say in the debate: help him to discover what it should be.

2.4 Politics and lobbying

These activities have already been touched on and only require brief expansion here.

It should not be forgotten that a measure of the success of a professional organisation can be the degree to which its members and perhaps, more importantly the general public, view it and remember to see it as part of the political processes of the country. This is not to recommend that the association allies itself with any particular party or political organisation or viewpoint. To do so, in most situations, would be impolitic. What is being recommended is that the association and its members, if the association is to be effective and its policies and objectives achieved, recall that it is a part of the political fabric and processes of the country. Not to be so is to put the association into a position where it stands little chance of success. The association can lobby at national levels but, in a truly democratic country, it is at the 'grassroots' - from where,(if they choose to remember) the legislators originally came - that opinions are formed. So, from the association's point of view it is the legislator's constituents who can be equally effective and they coincide because they are the association's members. But they need

to know beforehand the association's views and policies and they will require briefing materials so that they can contact, through personal meetings, or correspondence with the legislator to inform him of their, and the association's, views. A politician once said, somewhat lugubriously, that he had no views and would not have any without his constituents who, by his listening to them, helped him to form his own. There might be an element of truth in the statement.

Just as legislators need to be influenced locally by their constituents so must the local media. The press, through letters to the editor, local radio and television where they exist, must be fully exploited. An effective speaker, with a quick mind and ready response, speaking with authority will always be a welcome contact for any broadcaster whom may need views quickly for a programme. Associations need to identify such members.

In rural situations, where legislators appear remote and the media scarcely exists the political and lobbying processes, perhaps in a more elementary and less sophisticated form, will still exist. In few countries are these processes so centralised and operated in such closed lobbies that entrances and opportunities do not exist to be exploited. Any professional body, to be effective, has to be active.

2.5 Freedom of information*

Information work (including librarianship and much of archival services), rather obviously, is concerned with the provision of information to the user, in whatever format it is recorded. So, in general terms, professional work is concerned with ensuring protection of the rights for people to have access to that information (ie. the ethical and moral issues that arise from its provision and related political processes) and the work of the LISA professional associations is concerned with the many and various activities undertaken by their members to provide it. This is a rather rough and ready description because, in the cause of brevity, it over-simplifies the legitimate restrictions on access to information, for instance, in the archive field to protect privacy and military, security and politically sensitive information. Nevertheless it highlights an important function of the professions. That is: to assist in guaranteeing the right of every individual to have access to the information he or she needs and to protect the unhindered flow of information. These were two of the concepts agreed at, and included in the report of, the Paris Unesco 1974 NATIS Conference on the National Planning of Library and Information Services.[23]

It is true that not in all countries are these rights practiced let alone guaranteed and in even fewer do the professional associations and their members understand that such protection is their role and in fewer still are they in fact doing much to undertake such work.

Nevertheless such high ideals and such primary and important roles for the profession in society should be amongst the highest

priorities of professional library, information science and archive professional associations. Protecting the public's right of access to information is one of the most stringent tests placed upon these associations. If the LISA professions do not undertake it who will? As has been observed already, to undertake such activities is to confirm that LISA are truly professions that meet the most stringent criteria.

How are the protection of these guarantees for individuals put into practice in an association? There are two main areas of work: the first concerned to protect, or establish, the right of citizens to have access to the information they require when and where they require it (a sort of update of Ranganathan's Five Laws of Library Science). The second area of work is to ensure the free-flow, meaning the unimpeded movement, of information by for instance the removal of obsolete and unnecessary restrictions.

An association to bring about the first will be working to encourage legislation and will be lobbying for this because, as we have already observed, in all but a handful of countries freedom of information legislation does not exist. Political processes will need to be commenced to persuade politicians and the legislature and then the executives to perceive that citizens should have such rights. Thereafter work will be to ensure that the legislation as drafted will provide and guarantee such access. That will not be easy in many countries. The length of time taken to successfully traverse these political processes must not be underestimated because probably it will involve the enactment of legislation. This may require in itself the establishment of pressure groups along with other like-minded organisations and individuals. Work will involve the monitoring of restrictions on access and active opposition to acts limiting individuals' access such as censorship and the banning of titles or periodicals and other limitations that may be placed, at whatever level of society or government, on the practice of such freedoms. (As observed earlier this type of work will be a relatively new experience for many associations but the rights of access to information is a good example of important work for an association).

Free flow of information work, in contrast, relates to the more traditional provisions of services and is primarily concerned to ensure that these traditional services do deliver the expected results to the user. It is not always fully appreciated that in administrative regions above those managed by librarians, information scientists, documentalists and archivists obstacles to free-flow can be introduced almost unwittingly. For instance such situations can be brought about by reducing finances or the staffs needed to provide adequate and quality services or by imposing policies that result in hindrances or stoppages and which as a consequence hinder free-flow by closing branch libraries or reducing the hours during which archive services are available. All these have to be opposed with as much influence and power as a professional organisation can muster.

Within the areas of the professionals' duties at the workplace practical blockages can relate to unsupplied, or the limited availability of, inter-library loans, and inadequate measures for co-operation at national, regional and particularly at local levels. Inadequate staff training in routines and procedures, particularly bibliographical and information retrieval techniques and inadequate cataloguing of materials' descriptions and poor filing into catalogues and even bad and incorrect shelving of materials are other hindrances. In other words any practices that stop or inhibit a reader getting the book or information when and where it is wanted fall within this area of work.

2.6 Public awareness*

Professional associations should produce a handbook or guidance on the services that library, information and documentation services and archives provide and the functions that they perform in their communities and the social responsibilities that they undertake with the aim of improving the public's awareness of their significance and their potential use. Such activities are important because they serve to raise the general profile of these services in the public's consciousness with beneficial consequences when negotiations have to be started for resources to either improve, or at least maintain, standards of service - particularly so in difficult financial times.

Obviously another useful method of creating this awareness is through the use of the media - radio and television and the press - but detailed consideration of public relations is not for this chapter which is concerned with programmes and services.

Other services that also contribute to an improved public awareness of professional work can be based upon a wide variety of activities. They can range from relatively large events organised on a national scale such as national book weeks, information fairs and archives open days, to comparatively small entirely local events such as a writer-in-residence programme or a specific exhibition in a building. Ranged along that scale are events such as special outreach services which might include a children's book bus (for instance in a long school holiday) or a special display of archive treasures. For these local events the local press and media should be involved and for events spread across the country national press and broadcast media should be used.

In such situations the role of the professional association is essentially three fold;

* to guide and advise;
* to negotiate, monitor and enable (particularly for national events);
* to provide supportive materials.

A guideline, in pamphlet form, can be a simple instructional book on "how best to do." It will need to be general in approach

eschewing specifics and is probably best written by a member with some considerable experience of organising such events.

For large nation-wide events the national association's headquarters team needs to become involved with negotiations and in activities, to facilitate its members and the services in which they are employed, to provide the events. Activities at the centre are likely to include discussions on money with funding agencies. This might be a government department or a sponsoring commercial or industrial concern (for instance one that has some involvement or business with the profession such as a library book supplier or a company providing on-line services or computer hardware or software). For national events it is not unusual for governments to be involved such as Ministries or Departments of Culture or Education. Depending on the scale of a national event it is not unlikely that other professional organisations may wish to be involved such as those for museums or authors or publishers and booksellers, so discussions and negotiations will be required with them. In all the examples quoted support nationally for projects will facilitate success at the local level.

The production of support materials for events such as those outlined is a rather difficult task with which a national professional body might be involved. Few have experiences of such activities but the American Library Association has an excellent reputation and within IFLA ROTNAC (Round Table of National Centres for Library Services) members are engaged in this and similar activities. The prime difficulty inhibiting involvement is the capital required centrally to produce such supporting materials for national events. They might include posters, hand-outs, banners and similar display materials as well as items for individuals such as lapel buttons, pens or pencils, note pads, stickers etc. In addition to their actual physical production (itself a problem in a large number of countries) problems can be encountered in discovering and negotiating with designers and people who have some understanding of public relations - because, in the end, that essentially is what the operation is about. However overcome these and associated problems, and there is no doubt with careful financial management, profits for the professional association can be made from the sale of such articles to the LISA services involved in the events. It should be noted however that such activities are not recommended for the faint - hearted.

2.7 Research

There are people who argue that research is not the proper function of a professional association. The author disagrees. Research has a proper function in them if it meets three criteria. They are: that it facilitates the development of policies for the association or assists it to undertake programmes of activities in support of policies that the research shows to be necessary; that it undertakes that which will ensure that a national need is met - ie. that nobody else is concerned to undertake it or no other organisation nationally is more suited to take it on; and, finally, that it will

create some revenue or, at least, not leave the association out-of-pocket. Research that does not meet these criteria is the responsibility of other organisations.

However the professional organisation is unlikely to possess staff or officers to actually engage in the research activities themselves. The association is more likely to fulfill the role of contractor with responsibilitity for developing the research idea or concept into a viable project acceptable for funding and then obtaining the funds and engaging and managing the researcher or the team. It will then have a continuing function to supervise the research activities and to ensure that staff and others are paid and that accounts are kept and rendered and that a report of the results is submitted in accordance with the contract. It is equally unlikely that an association will have funds available on a scale necessary itself to finance large-scale research. Only in the rarest cases can a legitimate case be made for members' subscriptions to be used for such purposes.

Nevertheless the impression should not be left that research is not a priority, in some situations, for a professional organisation. Where there is a danger of association policies being based on fallacies or on fantasies when they should be established on rockhard facts that are not immediately available, then in such instances, the professional bodies' involvement is legitimate.

3. Other Services - Both to Personal and Institutional Members

3.1 Publishing

In most countries outside the industrialised world the departments and schools of library information science and archives as well as working professionals are short of locally-written and published books and journals specially relevant to their particular local needs. In their absence they have to make do by depending on those imported and usually written in French or German but more often in English. Such situations hamper education because of language problems and because the materials were produced originally for different social and cultural environments and for different developmental levels so the contents fail to reflect local needs. Books and printed matter and support materials in other media need to be published indigenously or locally. The need for text books, handbooks, reference materials, instructional guides, states of the art commentaries, reports of research and translations and local language editions of foreign books has long been recognised but little development and few improvements seem to have resulted. Publishers in the commercial sectors, particularly in many Third World countries, have shied away from the LISA market often concentrating instead on the quicker financial returns provided by school textbook markets. So the gap remains to be filled - and by whom more relevant than professional associations?

The association is likely to have in its membership professionals with the knowledge, expertise and ability to write the texts. In early days of a profession it is not unjust to expect such authors to receive remuneration for their intellectual creativity at a rate lower than would apply in longer-established markets - thus creating opportunities for a publishing venture to succeed financially.

The elements missing however, and probably the most important ones, are those concerned with editorial functions such as expertise on pricing policies and knowledge of the actual physical production of the product and negotiating skills with material suppliers such as printers, paper manufacturers, binders etc. It might be borne in mind however that traditionally books from Europe and the United States and the better-established Asian and Latin American publishing houses tend to consider and produce the book as an artefact, even in some extreme cases, as a thing of beauty. Essentially however, a book is a medium to transfer the message and information. There is no logical reason why it cannot be a more ephemeral product and as a consequence be cheaper to produce and thus permit sales at a lower price. The point to emphasise here is that such publishing activities require

that the relevant skills be available in the association. Too many librarians like to think of themselves as publishers. They are not. For success an association will have to import relevant skills.

Such a publishing operation ought not be viewed as an inessential peripheral activity. Professionals in the field attempt to provide services to the public - but without indigenous materials in languages they can understand to back up their professional skills their abilities are severely frustrated. The education of future professionals is attempted but few and scarce and irrelevant imported textbooks hamper achievements. The association, attempting in its turn to provide a service to its professionals and other members, requires capital and money so to do; it has the potential in the authors in its membership and in the markets which are provided wholly or in part by its own membership. The case is made for the association to become a publisher - but only after obtaining the necessary publishing skills not already available to it.

3.2 Bibliographical work

Associated with publishing initiatives are those concerned with bibliographical provision. The reasons for the association to become involved in such initiatives are much the same as those for publishing-namely a need for a service that is often nationally not available or is so poorly provided that its effectiveness may be in doubt. It has long been recognised that the provision of national bibliographical services is the function of the national library. But where one does not exist or where the services it provides fall short of requirements there appears to be no valid reason why the

professional association should not step in to fill the gap as it has done through various routes in Denmark, Norway, Sweden and the Netherlands. As with association publishing the necessary expertise, knowledge and skills to provide the bibliographical record will be present amongst the members. As with publishing the market exists represented by the services in which the members work. What is missing are precisely the editorial and publishing skills required for book and media publishing and these will have to be bought in.

However a word of warning is necessary. It cannot be stressed too emphatically that the skills of archivists, librarians and information scientists very rarely embrace publishing - either of monographs or the bibliographical records or cards, fiche or computer tapes etc and any association that ignores the need to buy in these missing skills is heading for trouble. Only in recognising what LISA professionals can do well and the areas where other professionals' skills are required will publishing ventures such as these two succeed and in so doing fill a gap for the members as well as provide an addition source of revenue to support the associations' provision of members' services.

3.3 Other services

There are a range of other services that a professional association might consider supplying that have little, or no, bearing on the actual professional activities for which the organisation was brought into existence. It must be admitted that normally they are peripheral to its primary concerns. They have most relevance perhaps to situations where there is rivalry between one professional association and another for members so that additional non-professional services and programmes have some attractiveness in such a competitive environment. Normally anyway the services themselves are provided by other organisations, and not the association, and they are not only supplied to the membership through association membership but also to the public at large. The benefit is that to association members they are provided at a discount.

These services can be wide-ranging in the extreme from reduced tariffs at hotels or in other accommodation (very useful for meetings, if it is near the association's headquarters), to discounts on a wide range of goods made available either from manufacturers or from wholesalers or retail suppliers. These can include anything from cars to micro-wave ovens and electrical goods to clothes and household goods. Services supplied in the same manner to members, at a discount, can be theatre seats, insurance - whether it be life, house contents and personal effects - to car hire and other forms of travel and holidays. In many countries access to what might be regarded as a captive audience, namely the membership file (although the actual lists of names and addresses should never be made available) is considered by the suppliers to justify the discounts. For the association the secret is to get the best deal possible by negotiating with more than one potential provider. If the association has something to sell (information in its membership file) then ensure that it earns the best income!

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CHAPTER VII
POLICIES, PLANNING AND PROCEDURES

INTRODUCTION

So far this Guideline has identified large numbers of activities in which a professional association should consider being involved. With limited resources in all of them, but some more limited than others, none can undertake all of them. Priorities have to be set and decisions on what to do, and what not to do, have to be made. Priorities should be decided against agreed policies. In the few permanently staffed associations people have to undertake activities and make decisions and these are best done in conformity with already agreed policies. Even where no staff are employed the associations need agreed policies not only primarily to facilitate speedy decision - making and to take effective action but also to ensure that there is conformity in the position that the association takes up and in the activities it undertakes. To have no policies is a recipe for disaster in many ways. One result can be an inability to agree to do anything. Another can result in the association taking actions and taking up positions that at best have no cohesion and provide to an outsider no clear view of what the association is about. At worst it results in the association appearing to go off in all directions until eventually the policies adopted even appear to be in conflict with each other.

This Chapter is concerned with how the professional body produces policies, gets them agreed and then implements them and how these policies provide a ground plan for action.

1. Policy - definition

The dictionary defines 'policy' as "political sagacity; statecraft; prudent conduct, sagacity; craftiness; cause of action adopted by government, party, etc." It is the last definition that is most apt but the others provide a clue to the nature of association policies. Policies provide the infrastructure that underpin and justify the association's activities. Without them chaos would occur in that decisions would be taken in one set of circumstances and others in a different set of circumstances which, without any structure of coherent policies to which they can be referred, would quickly produce a situation where one set of decisions bore no relationship to the others and even produce situations where they might conflict.

1.1 Policies

Policies are required of two different types for two separate areas of activity. There are those activities that relate to the existence of the association and its operation and its relationship with its members such as its constitution and the rules by which it is governed - one might think of these as internal matters. These are usually of little concern to the general public outside the organisation. Then there are those policies essentially concerned with the practice and operation of the services that the

association's members perform in libraries, information services and archives in the interests of the communities of their users. These might be classified as policies for the external world.

1.2 Internal

The most important policies in this category are connected with the constitution and the Charter or the document that legally recognises the existence by the State of the association. Normally it is framed in broad terms and shaped in its structure by directions from some governmental legalising body. It is the prime authority that guarantees the legality of the existence of the association. It normally carries a set of objectives couched in such general terms that they can be consulted only as very broad policy guidelines. Once set and agreed by the membership (and the procedures for this operation are addressed later) there should rarely be need to change or amend them. An occasional dusting off to review their continuing relevance - perhaps every five years - is all that is required.

If the constitution is the legal policy foundation on which the construction of the association and its work rests then the byelaws are the next course up in the structure. Their task is to interpret the constitution in more detail. They can be said to almost correspond to a working document that interprets in simple language a constitution or charter that is likely to be framed in formal legal and official language. Because they provide freedoms and impose restrictions on what the association and its members might, or might not do, they normally need the authority of the membership in annual general meeting.

The byelaws should address and explain the following matters; definitions of the categories of membership, professional qualifications (where relevant), the composition of the supreme governing body (Council, Praesidium etc); the manner in which it will be organised and will work; the areas of its responsibility and the limits to its authority; the elegibility of members to stand for election to it; procedures for elections to that body and of the officers. It should provide also a listing of the officers and a general statement of their responsibilities. If the Council sub-divides into committees an explanation of their tasks and the limits of their delegated powers will need to be included. Procedures necessary for the discipling of officers and staff and members and methods by which just decisions will be arrived at need to be included.

Such financial matters as the appointment of auditors, the preparation of accounts and their presentation and the means of obtaining approval of them through an annual general meeting; the levels of subscriptions and the levying of other fees and the general management of the association's money such as borrowing and investment - all these will be covered. In addition rules and procedures for organising and running the annual general meeting will be included, in some detail, to ensure its orderly conduct of business. If the association has sub-organisations of members such as geographical

divisions or special interest groups etc their operation and control and their relationships to the central organisation all will need to be spelled out.

In addition to the charter and constitution and byelaws other regulations may be required. These can relate to the conduct of elections which need to cover such matters as the issue of notices for forthcoming elections; methods and datelines for the receipt of nominations; identification of those qualified to vote; the form of nomination and voting papers; instructions for voting; vote-counting procedures; scrutiny and the reporting of the results.

Other regulations can, if required, cover such matters as definitions of standing committees, working parties, boards, panels, task forces, commissions etc and particularly relate to their relationship with the parent body and their delegated powers. All these are best incorporated into clear and concise terms of reference for each sub-organisation.

Some organisations find it beneficial to produce guidelines on behaviour during meetings - whether they are of Council, Standing Committees or the Annual General Meeting - and these are incorporated into Rules of Procedure. They are not strictly speaking policy documents - in the same sense as are byelaws for instance - but if used positively they almost assume the authority of a policy document and therefore ought to be mentioned here. These rules can provide guidelines on courtesy and relevance, brevity during speeches, the right of reply, advice on moving motions and their withdrawal and amendment as well as the amplification of policies ranging from interpretation of the byelaws to the election of a chairperson and their memberships etc.

1.3 External

These are policies that are relevant to, and guide the association and its members in the quality, direction and extent of the services that they all provide to the general public. Foremost amongst these will be the code of conduct that stipulates the relationship between the service-user and the professional and in turn the professional's relationship with the employer.

Other policies are required to guide professionals in their work. They can relate to matters such as professionals' relationships with institutions or organisations like co-operative service providers, regional co-ordinating mechanisms (as for archive provision in some federal countries) or inter-lending services and practices, or they can relate to the levels and the provision of individual services such as the free loan of books, or levels of charging for services such as renewals, reservations or overdue books etc.

Association policies on matters external to it can relate to almost any subject and may be extremely topical so as to provide guidance to professional members and the public using the services on topics of current concern. These, for instance, can relate to the pro-

vision of a particular title that may be under threat of censure, to copyright and photocopying practices and any other matters that may be at a particular time controversial and therefore where confusion can be clarified by the timely issue of a policy statement by the association.

However the most likely area in which external policies will be required will be in relationship to the activities of other organisations such as governments - whether central or local - and with regard to the political administration of an institution such as a university or company. Such policies are normally formulated to indicate to members and to the public the association's views on legislation and other similar directives. Normally they will provide interpretations and guidance on laws or directives. These can be on almost any subject from the interpretation of an act establishing a service to opinions on the allocation of resources or details concerned with the implementation of any directive or guidance emanating from a source outside the association.

The more topical is the issue on which the association has issued a policy statement the more urgent it is that it be communicated as efficiently and speedily as possible to the membership and to the public at large. There is no point, particularly with regard to policies if, when it is required, no-one knows what they are.

1.4 Code of Conduct

There is one important policy that relates not only to the internal working of the association and its authority and that of its members but also to the external world of the public to whom the association's members provide services. In a way it provides bridges between the public - for whom the association's members' services exist - and the management and operation of the services in which they are employed. Its purpose and contents have already been considered elsewhere. It should be short. But it is worth emphasising here that a code will instruct members to comply with the rules and regulations of the association and also with the laws of the land. It will indicate that the member must not indulge in any actions likely to bring the profession into disrepute - and some of the most serious may need to be cited as examples. The code should endure members to be competent in their professional activities and may expect them to keep abreast of new developments and to take responsibilities seriously for the training of fellow professionals. It will emphasis the obligation that a professional has (except perhaps in the field of archive management) to facilitate the unhindered flow of information and ideas and the need to protect and promote the rights of every individual to have free and equal access to sources of information without discrimination and within the limits of the law.

The possession of a code of conduct not only conforms to the last of the criteria on Flexner's list of activities but also serves to demonstrate to government, to other professionals and to the public at large the seriousness and responsibilities of the LISA professionals in the work and duties they undertake. It thus serves

further to enhance understanding of the status and reputation of members of these professions.

2. Formulation

Policies are formulated by either individuals but more often, at least in their completed form, by groups of people. It is not unusual for a working party or task force or commission (the name is not important) to be established with a set task such as to examine a policy for the association in the area of x and to report back with a proposed draft in the time-scale of y. Most policy statements have to run the gamut of endorsements and approvals from a hierarchy of committees because any proposed policy is likely to have implications not only for the working party drafting it but also for other parts of the organisation and which may have been overlooked. Wide consultation is therefore usually the hallmark of a successful policy deliberation exercise. An unsuccessful policy statement is easy to identify; it proves not to be acceptable to large parts of the membership and it is more "honour'd in the breach than the observance." Policies can be changed, and definitely should be regularly reviewed to investigate their relevance and need for correction in changed circumstances. However changes, particularly major ones, should be avoided as much as possible for fear of damaging the credibility of the organisation incurred by too many and too speedy amendments. Obviously it is important to get it as right as possible the first time.

As associations' policies proliferate over time a need will develop for their co-ordination to ensure that new ones relate to those already in existence and to ensure that conflicts do not grow up between them that makes their implementation difficult. This task normally falls to an executive committee which adds this to its main objectives of the supervision and advice on the day-to-day running of the organisation. In many organisations it has a name that better identifies its true functions - policy, planning and resources committee.

It is not easy to predict in which areas policies will be required because for each association the needs will be different depending on circumstances. But it can be predicted with reasonable confidence that they will be required primarily to regulate members' behaviour and their relationships with their publics as well as to guide the association's management and members in those areas important to society such as freedom of information, censorship, access to library and archive and information services, charging for services etc. etc.

3. Policy Activities

A policy once formulated does not complete the association's work with it. It needs to be promulgated to the members and to the world at large and, in so doing it will normally indicate more work within the association requiring to be undertaken. After all the policy will hardly have come into existence in a vacuum; it is likely to

have been in response to an observed need - often to permit the organisation to re-act to an external situation such as an initiative from government or some other external source.

Too often policies are formulated and the situation that gave rise to the need for that formulation having passed on, remembrance of the existence of the policy fades - particularly so if the policy has not merited much publicity. To avoid association embarrassment in the future it is useful for a policy to be recorded, not only in the minutes of the sub-organisation of the association that was responsible for formulating it, but also in a policy book or in a data-base where its existence and its major contents can be checked easily.

In deciding what specific actions in a particular set of circumstances are required to implement the draft policy the relevant sub-organisation of the association responsible in the first place for devising it will need to be consulted. It will need to guide and advise the staff or officers responsible for its use and for implementing it. As with the actual processes of formulation, so here, a wide variety of views should be taken into consideration. For instance it is clear that a policy on charging for particular services such as on-line searching in libraries will result, in different types of libraries, in a wide variety of views. To ensure, in this example, wide support for the policy that eventually emanates much consultation will be required not only during its formulation but also for its successful implementation.

4. Adoption/Rejection

Major policies once formulated are likely to be most effective if they have obtained the full support of the membership. Just as working party or task force discussions are likely to have drawn on different areas of expertise or to have obtained representations from various pressure groups in order not to have neglected any significant factor or opinions; just as the progress of a draft, through the intervening stages of committees preceeding its presentation to the association's ultimate authority, will have opened up the consultation procedures to opinions different from those that had been responsible for its original formulation in the working party, so would Council be wise in the case of major matters to recommend, before it gives its final approval, that it should be passed to the membership for its views.

This can be done by, for instance, presenting it as an agenda item to the Annual General Meeting. Here a senior officer with close involvement with the policy's formulation should make a presentation and encourage debate amongst the members present and then resolutions should be moved recommending its adoption or alternatively proposing amendments. If no annual general meeting is pending but if the policy is required so urgently that its adoption cannot be postponed then an extra-ordinary general meeting, permitting the same procedures to be adopted, may have to be called. If, for any reason, neither of these meetings can be held then, as an

alternative the draft policy can be placed before all the membership (as opposed to only those that can be present at a meeting) using the machinery of the postal ballot. However it should be appreciated that more perfect is this method than the other two for testing the membership's views but more expensive is it, in terms of staff time, to prepare the necessary ballot papers and to make arrangements for counting etc as well as being expensive because of printing and postal costs.

Despite the amounts of work and money involved important policy decisions benefit from the operation of such proceedures because there can be then few legitimate challenges to the authenticity and authority of the policy.

5. Procedures for implementation

Once a policy has been promulgated by the association measures have to be undertaken to put it into practice. In the office or the internal operation of the organisation it will necessitate an investigation to discover which of the current practices seem to either oppose or at least not accord with the newly-adopted policy. A list of these should be prepared and consideration given to changes in current activities. Once these are agreed then they have to be put into practice. What is involved?

The first action must be to inform people of the adoption of a new policy. There is no point in formulating and adopting policies if nobody knows of them. The new policy therefore needs to be made widely known via a policy statement which can be printed and distributed separately but certainly needs to be promulgated officially in the association's newsletter or journal. If it is on a subject of major importance such as access to information or censorship etc then it is likely that the association's adoption of it will be of wider interest than only to the membership. Welcome publicity for the profession can then be obtained from the preparation and circulation of press releases to radio, television and the main national and local newspapers. These should be re-inforced by interviews with the media whenever the opportunities occur.

A far more effective way of putting a major new policy into practice is to lobby for it. Lobbying can take many forms. It can range from a meeting to press the association's point with a civil servant in a government department who might be engaged for instance at that moment in drafting a document either for the legislature or for a minister, to a full-scale, planned and co-ordinated campaign directed at elected members of the legislature with the purpose of making major changes to legislation. In such a situation it is imperative that the democratic processes that are in operation nationally and that go to influence the production of laws is fully understood as well as the working of the legislature and of the timing of its programmes. Most associations are still relatively inexperienced in this area of work although the American Library Association's office in Washington has some major achievements behind it and the UK Library Association is accumulating valuable experience.

But lobbying can take place in areas other than central government. There are many places and circumstances in which an association will wish to effect a change in attitude, policies or the activities of other organisations. These can range from other professional or trade bodies such as those for publishers or booksellers or library central suppliers, to local government and its relevant professional groupings, to organisations on the international scene. Lobbying, to be successful, requires a full understanding of the association's policies, a clear view of the objectives of the current exercise and an understanding of the processes outside the association by which changes are brought about in the particular context of the activities.

In addition to lobbying there are many other processes by which policies can be implemented. These can range from relatively simple exhortations to the membership, to campaigns for change usually working with, or through other organisations. The prerequisites for success are careful considerations of objectives and attention to detail in the activities being undertaken as well as a clear view of the priorities of these activities in the context of others before the association.

6. Planning - why and how

Priorities are best arrived at through a series of carefully prepared planning processes. Setting priorities and time-scales for reaching agreed objectives are two of the most important elements in the processes involved in implementing policies. They are at the heart of good management practices. Associations are normally in the situation of re-acting to circumstances created around them by other bodies - very often governments. In these circumstances they are propelled by the actions of others and as a consequence purely pragmatic decisions have to be taken about priorities if situations encouraging change, but, possibly more favourable to other organisations, are not to slip from the association's grasp. Planning, and the setting of priorities in these situations, are at best short-term and often ill-coordinated. Objectives for the association therefore are usually short-term and although they may relate to long-term objectives and policies the road by which they are reached is scarcely clear and smooth. To reverse these unsatisfactory situations clear long-term plans need to be drawn up and followed. They will be based on the policies already being formulated. To successfully achieve long-term planning and then the goals set by them is the hall-mark of successful management.

The planning process needs to be assembled in stages. Long-term objectives and the policies that will need to be implemented and the activities that will need to be undertaken to do so should be clearly thought through and stated with clarity. That having been successfully accomplished the whole process will need to be examined in some detail to identify what resources - both human and financial - will be required in the short-term to achieve these long-term objectives. Then, when these have been identified, the various stages will need to be allocated a time-span in which that particular set of mini - or sub-objectives will be achieved.

Monitoring mechanisms to observe where, when and how the targets have been met will need to be put into place with a method of feeding-back these observations into the whole cycle. In ideal circumstances the planning process should be set over a period of years (five is an acceptable norm) and it should be then sub-divided into plans which are assessed annually on a rolling programme using the monitoring mechanisms and feed-back devices to produce the ensuing year's plan - always set against the five year plan's objectives.

Unfortunately, ideal as this scenario is, most associations are too concerned with the 'here and now' to lift their heads to the new horizon and give attention to the future that might lie over it. Nevertheless not to look so far ahead is not only to waste resources but is also to fail to exploit the energies and motivations of officers, staff and members. After all, particularly where no staff are employed and the association has to exist on the good will and freely provided time of elected officers, objectives need to be clearly set so that the expectation of the rewards, for the energy and time expended, can be achieved.

In such circumstances, where the period of office of individuals may only be one, two or three years, the temptation to concentrate on short-term objectives and ignore long-term plans (because these individuals wish to be around to see their plans achieved) is very great. It must however be resisted. Roger Parent, Deputy Executive Director of the American Library Association explains it well: "....for all but a rare few, the excitement in association work comes not from planning for the future, but from engaging actions now that seem to be moving the association's interests forward.... many actions are pursued with energy, excitement and enthusiasm but often without a clear understanding or awareness of how these actions fit into broader long-range strategies that will help the association achieve challenging goals." To remedy such a situation he advocates strategic planning the purpose of which "is to identify clearly the most desirable end results and to give clear direction to the work of the association's members, leaders and staff." He argues that the process "....requires commitment to effective planning, decision-making, prioritising and evaluating." He argues that "(i) strategic planning is a powerful tool; (ii) strategic planning is an opportunity to provide more effective leadership; (iii) strategic planning is a responsibility." In a paper to the IFLA 1988 Sydney Conference he explained how it had for the American Library Association helped to define more clearly the ALA's mission, priority areas and goals. It is a paper that has lessons for all professional associations whatever their size and background and is commended for further study.[24]

Reference

24. Parent, Roger H. Strategic planning for library associations. in IFLA Journal. Vol.14 (1988) No.4, pp343-353.

CHAPTER VIII

FINANCE : ACCOUNTS AND BUDGETING

INTRODUCTION

The efficient and responsible management of the association's finances, to accord with the policies and planning procedures outlined in the previous chapter, are a necessity. Without efficient and careful management in this area policy and planning strategies cannot be realised. Financial management functions will be examined under six headings: planning and budgeting; accounts maintenance; reporting - statements of revenue and expenditure; statement of changes in fund balances; internal controls - independent audits and cash flow; financial reserves and investments; sources of income - subscriptions and other revenues.

1. Planning and budgeting

We saw in the previous Chapter the processes which need to be followed to establish plans and policies in order to reach desired objectives. We noted that at all stages of the planning processes staff and financial resources need to be made available and that monitoring mechanisms need to be put into place. In no sphere of association activity is this more important than in the financial operations necessary to fund the activities to achieve these stated objectives.

Financial planning is required by all associations regardless of their size and stages of development. Advanced financial planning provides assurances that association resources will be available and will be used to meet intended objectives. Such planning also provides a sound foundation for cost control. This planning is most often accomplished through the preparation of an annual budget.

The budget should contain forecasts under sub-heads that relate closely to the actual activity on which the money will be spent. These sub-heads need to be carefully thought through and should be changed as little as possible in order that expenditure statements might correspond to budget forecasts, sub-head by sub-head, but also so that comparisons, year-on-year, might be made. This is an important function in the long-term planning processes of the association and will indicate where costs may have increased suspiciously largely which will indicate the need for further investigations. It will also indicate where an activity has failed to comply with the budgeted targets. There is always a temptation to squeeze the forecasted requirements under a particular sub-head during the preliminary investigations of the budget, or for compilers to add a few extra thousand for 'contingencies'. Both these practices should be avoided. Budgets should be forecast as realistically as possible.

The preparation of the first draft of the budget must be a corporate activity with all expenditure staff-members or officers being asked to forecast within their areas of responsibility and against the plans and objectives that have already been approved as future

policies, their financial requirements for the next year. That is an individual's task. Thereafter, when the various claims have been co-ordinated into the agreed sub-heads and formats, the budget claims need to be examined corporately. In a large association employing staff this should be undertaken by a management team. In a small organisation, where elected officers have responsibilities for undertaking activities and for expenditure related to them, it will be the function of the executive committee. (Here is a good example of where the committee's responsibilities for resourcing and planning come together.) This committee, which should also have before it notes explaining how sub-head figures were arrived at and notes to explain any major increase or change on previous year's figures, will then assess the individual claims against the already agreed objectives and policies and declared activities for the coming year necessary to achieve the already - agreed targets. If the budget meets all these criteria it should be approved and promulgated as a document to which all staff and officers will adhere in the coming year. [At Appendix IV is a simplified budget format as an example].

During the year, at given intervals, the budget figures should be regularly compared with actual expenditure and revenues. Large variances between the budgeted and actual figures will indicate that a problem may exist. Investigating the variances and determining the causes are essential for controlling costs and preserving the financial well-being of the association.

2. Accounts maintenance

The function of accounts is to keep track from day to day and item by item of expenditure and to observe and monitor how this relates to achieving activity targets and agreed budget totals. It is perhaps the most important part of the implementation of any agreed policies or plans.

There are two types of accounting; **cash basis** and **accrual.**

2.1 Cash basis - accounting

This does not provide an accurate picture of actual revenues earned and expenses incurred during the reporting period and it is most often used by only the smallest associations. In general, cash basis accounting works as follows: revenue is recorded at the time a payment is received by the association. Expenses are recorded when a bill is paid. Cash basis accounting is like keeping a personal cheque book.

Associations which need a more accurate and detailed understanding of their financial status are likely to use accrual basis accounting.

2.2 Accrual - accounting

This method, using the same example, records revenue and expenses within the accounting period (ie. the calendar year) in which the

revenue is earned or the expenses incurred, not when the money is received or paid.

The following example illustrates the difference between cash basis and accrual basis accounting; the association invoices for year II dues in November of year I and the dues payments are received in December of year I. Using cash basis accounting, these funds will be recorded as revenue in year I, which is no problem as long as the finances of the association remains simple, and everyone using the financial statements understands that this revenue must be used to offset the expenses of providing services to the members in year II. However as the association's finances become more complicated, keeping this concept clear becomes more difficult. In using the accrual methods the money is recorded as year II revenue even though it is collected in year I, making it clear that the funds are to be used for year II services.

Thus, accrual basis accounting does not record cash received as income until such point as the association has provided the product or service and 'earned' the income. Similarly, expenses incurred by the association are recorded within the same accounting period that the revenue was recorded. In short, accrual basis seeks to match the revenue against the expenses the association incurred when earning the revenue, thereby providing a more accurate picture of the association's finances.

Large associations are likely to use accrual basis accounting. However, some associations use a modified form of cash basis accounting where some items are recorded on a cash basis and others on the accrual basis. Still others keep the financial records on a cash basis but compute them at the end of the year to accrual basis by recording obligations and receivables. The main point is that whichever system is used, financial records for the association must be kept accurately. The accounting method selected will be likely to be dictated by the size and complexity of the organisation's budget.

In most small associations, the treasurer is a member of the executive committee and is responsible for the association's bookkeeping. If the organisation is larger, there may be a bookkeeper on the staff who has the responsibility for keeping the association's financial records. In a still larger organisation there may be a full-time accounting staff member reporting to a chief executive officer. The important thing to emphasise is that, although details may be delegated to others, the treasurer or chairperson of the executive committee is responsible for seeing that reliable records are maintained and reporting the financial condition of the association to the membership.

3. Financial reports

These have two functions; firstly to assist the monitoring processes to ensure that annual plans and activities are being activated and are being undertaken within the budgets previously agreed for them. They are a necessary part of the management processes of the association's activities.

The second is to confirm to the membership that the stewardship of their finances is in safe hands and that the association's finances are being correctly managed.

Financial reports, for whichever of these functions they are prepared, should be placed before the executive - whether they are a management team when full-time staff are engaged, or the executive committee for policy and resources - and must show clearly what has transpired during the period covered. In the first situation these reports will probably be required at quarterly intervals and in the last probably annually - usually for presentation to the membership as part of the association's annual report and then to the annual general meeting. All financial reports should be easily understood; concise; all - inclusive in scope; have a focal point for comparison; and be prepared on a timely basis.

Preparation of financial statements generally requires a person with some experience in bookkeeping or accounting. Even smaller associations may find it practical to hire someone on a part-time basis to complete these reports.

3.1 Statements of revenues and expenditures

The statement of revenues and expenses shows actual revenue and expense figures. This makes it simple to compare the budget to actual costs, and thus determine the accuracy of the budget as well as help to forecast future budgets. The period covered in the statement may be a month, a quarter or a year depending on the reporting needs of the association. It is helpful to show the budgeted figures for the same period of time on this statement for ease of comparison.

(An example of a simple statement is shown at Appendix V).

3.2 Balance sheet

This is a financial statement showing information for a specific date such as at the end of the month, quarter or year. It summarises what the association owns, grouped by types of assets (cash, furniture, equipment etc). Similarly it summarises what the association owes, grouped into liabilities (usually unpaid bills). It is completed by showing the association's fund balance (net assets left after all expenses and other liabilities have been deducted), and the amount that it increased or decreased based on the net results as shown in the statement of revenue and expenses.

(An example is provided at Appendix VI).

3.3 Statement of changes in fund balances

This financial statement summarises the financing and investing activities of the association, including the sources from which cash or other current assets were obtained and how they were used. For example, the sources of funds might be from dues, borrowings, or investment income. The use of funds might be to purchase office equipment or produce a newsletter.

4. Internal controls

Internal financial controls are required not only to implement the monitoring procedures already illustrated to be necessary as part of the effective management of the association's policy objectives and activities but also to protect its assets, validate the accuracy and reliability of accounting data, promote the efficiency of the operation, and encourage the use of policies and procedures. In a small association, internal control is achieved by the treasurer or bookkeeper who checks each transaction (both revenue and expense) to be certain mistakes are not made. In larger associations, stricter internal controls will be required to protect the association and staff against loss. The key method for effective internal control is to avoid, whenever possible, giving complete responsibility for handling all phases of a transaction to one person. In addition to internal controls, insurance should be carried to ensure that, if a loss occurs due to embezzlement, the organisation will be compensated. Such insurance is not expensive; however, in order to obtain it, the organisation must have good records which will show clearly that a loss has been sustained.

4.1 Independent audits

The independent audit is related to internal controls. Whether or not an association's financial records should be audited is a judgement which the executive must make except in the case of archivists' associations where audits are normally required by the law related to their establishment.

An audit is an on-site examination of the financial records and internal controls by an experienced and independent professional accountant. An audit usually does not examine every transaction, but is a series of 'tests' designed to provide a basis for judging how accurate the accounting records are and how much reliance may be placed on the internal controls used. The audit is a formal expression of opinion about the financial records and internal controls of the association. Although an audit does not guarantee complete accurancy of financial records, it does express an opinion on the fairness of the financial statements. Because an audit is prepared by individuals outside the organisation, with no personal investment in the process, it provides an unbiased report which assures the executive and the members that the association is following appropriate accounting practices.

4.2 Cash flow

Associations do not necessarily receive income at exactly the same time cash is needed to pay bills. For instance membership subscriptions usually are collected in the first months of the year with very little income realized from this source in the last half of the year. It is, therefore, helpful to develop a cash flow budget which projects cash receipts and expenditures on a monthly basis. During times when income exceeds expenses, the excess funds should be kept in interest-bearing bank accounts or invested in

short-term, safe investments. Likewise, when expenses exceed income, this money can be used later for paying bills.

5. Financial reserves and investments

A prudent association will have financial reserves and investments in order to withstand fluctuations in subscriptions or to respond to economic conditions outside its control. This emergency money should be invested in such a way as to be readily available when needed. The rule of thumb which some associations use is that reserves should equal about 25% of budgetary expenditures for any given year, or enough to pay three-months worth of bills, plus enough cash to pay for all existing contracts. Other associations take a more conservative view than this and believe that reserves should cover commitments for at least a year.

The principal consideration in adopting an investment plan should be the timeframe in which the money invested is most likely to be spent. Short-term, safe investments should be used if the money will be needed quickly. If the funds will not be needed for a longer period, they should be placed in longer-term investments which earn higher interest.

6. Sources of income

6.1 Membership

Subscriptions are a major, if not the major, source of revenue for most associations representing 50% or more of their income. Because the primary purpose of a professional association is to provide services to its members subscription income should be designated to support the association's core services if this is possible. Certainly care should be exercised to ensure that the members are satisfied that the major portion of their subscriptions are not being used for activities other than service-provision. Activities over and above the core services, especially if they are available only selectively to members, should be self supporting and subsidised as little as possible from subscriptions. Many associations find it beneficial to invoice all members for subscriptions at the same time, usually just prior to the start of the association's financial year. This simplifies the invoicing processes and ensures the availability of funds at the beginning of the year.

The level and manner by which subscriptions are set is one of the most controversial areas of association activities. If professional qualifications are awarded by the association such as Associateships or Fellowships subscriptions might be set to reflect these categories on the assumption that Fellows (as holders of the highest professional qualification awarded,) are likely to be employed in the best remunerated jobs and so they can most easily afford to pay the highest subscriptions.

A second choice is to levy a flat-rate for all subscriptions with certain exceptions (which will be considered later). This provides the benefit of simplicity to collect and record but it can be

viewed, particularly by those members in first jobs or early in their careers, as being unfair in that they perceive themselves penalized in comparison to their colleagues in higher, and therefore better-paid, work.

Perhaps the fairest means of levying subscriptions is to relate them to salaries. This can be done by surveying the salary bands across the range of members' jobs and fixing top scales and bottom scales within each salary band and then to relate subscriptions to these. It is demonstrably the most just way in that the poorest - paid contribute to the association the least (and these are often members who are newest into it and therefore have had the least time in which to draw on its services) whilst those who are best-paid and in the higher eschelons of the job-market contribute the most. They will also have had the longest time to draw on association services. Indeed they ought to be able to make links between their career development and their position in the profession and the services that they have received in the past from the association that have assisted them to get where they are. The disadvantage, from the association's point of view in adopting this method, is that it depends on the honesty of the members to declare truthfully their salaries. A computerised database of the member's records can indicate where a substantial drop in salary is alleged to have taken place or no increase over a suspiciously long period which can then be enquired into.

Whichever method is selected the fact must not be lost sight of that librarians', information scientists' and archivists' salaries almost everywhere in the world are depressed. When salaries are low large subscriptions (on whatever basis they are levied) cannot be expected from the membership. For association managers this represents a 'chicken and egg' situation in that an avowed objective of any professional association must be to improve the status and image of the profession and its members but in order to undertake this resources are required. Resources are hard to obtain when member's salaries are low and as a consequence inhibit the size of subscription levied and therefore the income available to spend on services that will improve status, reputation and salaries. It is a conundrum that associations have to solve if they are to improve services, including their members' status and salaries and so provide an opportunity to make their own finances more healthy.

6.2 Categories of subscription

In any considerations regarding the setting of subscriptions room must always be left for exceptions. To permit this to come about categories of membership need to be defined and subscriptions related to these.

Categories can depend, as already illustrated, on qualifications - particularly those awarded by the association itself - or on other criteria. The largest category will be that of ordinary personal members paying a flat-rated subscription or one that is based on salary - related scales. Exceptions were alluded to earlier and these should include a special category for students who the

association will wish to recruit as soon as they become involved in education and training for the practice of the profession. Another category should be for those who are unfortunate enough to be unwaged either through unemployment or because they are women who may have left practice temporarily - for instance to raise a family. Another might be for members who, whilst not educated to be practicing professionals and who may not be practicing, are interested in supporting the objectives of the association. Members living outside the country in which the association is established and in which the majority of the members live might form another category and pay a lower subscription because they are unlikely to be able to receive the same range of services as a home member - for instance because of distance and the problems of communications.

The penultimate category of membership will be for those retired from active professional work. Given that they will be members who are no longer likely to be earning but may have given many years of service to the profession and, over the years, a not inconsiderable part of their salary in their subscriptions they should be treated with compassion. Some associations permit retired members to compound their memberships after a given number of years of unbroken membership to become life members.

The last category might be for members who are not individual personal members in any of the groups considered above but are institutions drawing on the services of the association (and we have seen earlier how difficult is it to define whether a particular service provides benefits substantially to an institution rather than to an individual member who may work in that institution.) Institutional members can provide a useful additional source of revenue. The criteria by which their subscriptions are set may depend on their levels of expenditure or budgets.

However members are categorised and by whatever means their subscription levels are set a fine balancing act is always required to ensure that the costs of providing services do not push subscriptions over a level politically acceptable to the membership. Conversely subscription levels should not be set so low - usually for political reasons - that they fail to fund the services necessary for the association to provide to its members. To not provide services is an equally effective way of losing members as to over-charge subscriptions. The balance has to be carefully made.

6.3 Association services income

Earlier in this chapter a conundrum was referred to of the need for increased income to increase money to provide services to members to assist in raising status and salaries. If, as they are, salaries are small and therefore subscriptions have to remain low then other sources of revenue have to be explored by the association. For many associations around the world these still have to be fully explored. There are two primary sources of additional revenue. The first relates to services that an association already may be providing but from which no additional monies are being extracted because the services were conceived originally solely as a free service provided

in return for members' subscriptions. In difficult financial times arguments can be adduced for making some charges to participants availing themselves of some of them. The primary argument being if the service is not available on an equal basis to all members, either because they do not have membership-wide appeal or relevance such as the publishing of a book or a specialist journal (not the regular newsletter) or because they are only available on a geographically-restricted basis - for instance courses, conferences or seminars - then an additional charge for these users is legitimate. These activities should be examined carefully for their potential to generate more income. The operation of a publishing programe has already been considered. However the point to note here is that it can still be provided as a service to members by ensuring that discounts are available to them.

There are many markets that can be supplied from a carefully-conceived publishing programe ranging from text-books to students, to indexing and abstracting services of locally - produced materials such as government papers, institutions' reports etc. This market has been reasonably well-exploited by associations in industrialised countries but the need for products designed and geared to local needs, particularly when these are in Third World countries, has hardly been tapped.

The same discounting methods can apply to the provision of short courses or continuing professional education programmes. In many cases, it can be argued, the employer will benefit from the results as much as the individual professional and therefore prices can be set at a slightly higher level than they can be for an individual member who has to pay to enrol from his or her own pocket and can then obtain a member's discount.

In deciding what services can support an additional levy for those participating in them care must be taken to ensure that other services are available without additional charges for the subscription that members are paying. Just as objectives and targets are set for other areas of association activities so similar targets should be set for the generation of income from such revenue-earning services as these.

6.4 User-service sources

This second category of additional revenue-earning sources distinguishes itself from the first by the fact that the services or activities are likely to be more attractive to special groups of the membership or that they will be of more use to institutions rather than to personal members. National campaigns provide the best illustrations such as public awareness programmes like National Book Weeks or National Library Weeks or specific campaigns like opposition against taxes on books or censorship etc. Here the products or services are geared and priced not to what individual members can afford but to what seem to be reasonable market prices that organisations will be prepared to pay.

Such services can range from national bibliographical products - if these are not already being supplied from a library service - to specialist equipment such as catalogue cabinets, soft-ware for computers, to specialist furniture like issue desks, reader's carrels etc to translations of national classics in cheap editions for ethnic and/or linguistic minorities to the import, from their countries of origin, of books in relevant languages.

Products can include posters, book marks, lapel buttons etc for specialist campaigns to household artifacts such as pens, pencils, note pads, drinking mugs, 'T' shirts or other clothing accessories.

Much expertise exists in some countries as we have already noted and, without being invidious one might single out Denmark, Norway and Sweden, Netherlands, Germany, (Federal Republic) United States and the United Kingdom. Within IFLA considerable expertise and advice is available from ROTNAC (the IFLA Round Table of National Centres for Library Services). [A list of names and addresses is at Appendix VII].

A word of warning however is not out of place here. Most of the activities referred to above are potentially hazardous commercial operations that, if they were to be adopted and then go wrong, could land an association in very dangerous financial circumstances. They need to be undertaken only with the advice of, and support from, people experienced in the commercial world. All associations that have been successful to date have bought-in that expertise to design and establish these programmes.

6.5 Grant-aid and foundations

These are mentioned here as an additional source of revenue simply for completeness' sake and because their existence should not be overlooked. Obtaining funds from them is rarely easy and, understandably, they set rigorous criteria to be met before any money is disbursed. These usually include an indication of the benefits for the funding-body - never an easy question to answer - and an indication that the money is for pump-priming purposes related to a specific objective ie. establishing a new service. The foundation will require an indication, when the grant-aided service is operating, of the time-scale by which it is estimated that it will become self-financing.

6.6 Government support

In certain societies government expects, and is expected in return, to provide the association with financial support. However this operates usually where the government works closely in tandem with the professional association seeing it as a source of expertise and advice in assisting to formulate government policies. Unfortunately such countries are few and far between. In most countries the government pays little, if any attention, to professional organisations and normally ignores them altogether as much and as long as possible. In such circumstances governments are unlikely to countenance requests for financial grants. Where they do the

association should question carefully whether its independence, particularly to criticise government and its policies, are not likely to be compromised. The belief, that governments owe the professional associations some debt which can be recompensed by grants-in-aid needs to be severely challenged. Generally speaking a professional association is more healthy in the eyes of its membership and the public at large if it can stand independent of government and feel unrestricted in its right to tell government what it thinks of its policies towards libraries, information and archive services.

[NOTE: The contents of this Chapter owe much to a previous draft Guideline prepared by Ray Palmer of the Medical Library Association of the United States and David Bender of the Special Libraries Association. Their assistance is gratefully and especially acknowledged here.]

CONCLUSIONS

No guidelines can be comprehensive in their coverage and particularly in the applications that can be forseen for them. The author hopes that the approach has not been too prescriptive but that there are enough guides and examples to be of use in assisting library associations to be better managed and as a consequence more effective. By being so it is hoped the image and reputation of the profession will be improved and in achieving that aim that a step will have been taken towards the improvement of the status and reputation of the library, information science and archive professions.

Examples of.....

Rules of Procedure to be Followed at Council, Committee and General Meetings

1
Election of Chairman of Council

At the first meeting of the new Council after the annual election the Council shall, as its first business, elect a Chairman. The President, or in his absence the Honorary Treasurer, shall take the Chair during the election of the Chairman. Nominations shall be made in writing and handed to the temporary Chairman who shall read the names to the meeting. Members shall record the name of the member of their choice on slips of paper which shall be collected and counted. The member receiving the largest number of votes shall be declared elected to the office. In the event of a tie the names of the members receiving the same number of votes shall be re-submitted to the meeting and members shall again record their choice by means of slips. If a second tie is announced the temporary Chairman shall record a vote to determine the ballot.

2
Chairmen

2.1 In the absence of the Chairman of Council at Council meetings the Honorary Treasurer shall take the Chair. In the absence of both these officers the meeting shall elect a Chairman.

2.2 At General Meetings, the President shall take the Chair or, in his absence, the Chairman of Council shall preside. In the absence of both of these officers the meeting shall elect a Chairman.

2.3 The Council shall elect the Chairman of the Executive Committee by postal ballot. Nominations shall be made in writing and sent to the Secretary, who shall distribute voting papers. The member receiving the largest number of votes shall be declared elected to the office. In the event of a tie the names of the members receiving the same number of votes shall be voted upon again. In the event of a second tie the Honorary Treasurer for the year in which the Chairman of the Executive Committee is to serve shall have the casting vote.

2.4 The Council shall elect the Chairman of each Standing Committee at its first ballot as provided in 2.3. Any member of a Sub-committee or of an *ad hoc* Committee may be nominated as Chairman of such Committee. In the absence of the Chairman of any Committee any member present may be nominated to take the Chair for the meeting.
The Chairman of a Standing Committee shall be a member *ex officio* of all the Sub-committees of that Standing Committee.

3
Members

"Member" means and includes within these rules:

3.1 in respect of Council and Committee meetings any person duly elected to serve or any person serving ex-officio;

3.2 in respect of General Meetings, those entitled to attend and vote.

4
Quorum

4.1 Fifteen members, exclusive of the Chairman and the Honorary Officers, shall form a quorum for Council meetings.

4.2 The quorum for an Annual General Meeting shall be 50 and for an Extraordinary General meeting it shall be 20 members of the Association.

4.3 A quorum for the meeting of any Committee or Sub-committee or *ad hoc* Committee of the Association shall be one third of the members of that Committee, Sub-committee or *ad hoc* Committee, subject to a minimum quorum of three, with the exception of the Executive Committee for which the quorum shall be five.

RULES OF PROCEDURE

5 Courtesy

Members shall stand when speaking and shall address the Chair. Whenever the Chairman rises or speaks any member speaking or offering to speak must resume his seat and the Chairman shall be heard without interruption.

6 Relevance

Whenever a member speaks he must confine his remarks strictly to the matter then under discussion or to a point of order or personal explanation.

7 Discipline

The Chairman shall call a member to order for irrelevance, repetition, unbecoming language, imputations of motives or any breach of order, and may direct such member if speaking to discontinue. The Chairman may also direct such member to withdraw from the meeting. The ruling of the Chairman on points of order, matters arising in debate or the admissibility of a personal explanation shall be final, and shall not be open to discussion.

8 Speeches

Except with the leave of the Chairman no member shall speak more than once on any one matter but a member may formally second a motion, reserving his speech for a later period of the debate. A member, whether he has spoken on the matter under discussion or not, may rise to a point of order or to make a personal explanation. A member so rising shall be entitled to be heard forthwith. No member shall speak on any motion or amendment for more than ten minutes, except with the leave of the Council.

9 Right of reply

Notwithstanding the provisions contained in Rule 8, the mover of an original motion may reply at the close of the debate on such motion. If amendments be proposed he shall be entitled to reply at the close of the debate upon each amendment. He shall confine himself strictly to answering previous speakers, and shall not introduce any new matter into the debate. After reply the question shall be put forthwith. The right of reply does not extend to the mover of an amendment, except where such an amendment has become a substantive motion and a further amendment or amendments have been moved thereto.

10 Matters arising

A member may, with the permission of the Chairman, make observations on any point arising in the minutes of the previous meeting but such observations shall not exceed five minutes.

11 Moving of motions

i No motion shall be considered or voted upon unless it has been duly moved and seconded. A motion from the Chair shall require no seconder.

ii The Chairman or any member of a Committee may ask for any motion to be submitted in writing before it is put to the vote.

iii Members may seek further information or clarification on any matter under discussion during a meeting but must advise the secretariat, where possible in advance of the meeting, so that such information can be available.

12 Withdrawal of motions

A motion may be withdrawn by the mover with the concurrence of the seconder. The chairman of a committee or other member in charge of a report may, with the consent of the meeting, withdraw a paragraph or recommendation contained in the report.

RULES OF PROCEDURE

13
Absence of mover

Business under any notice of motion upon the agenda paper shall not be proceeded with in the absence of the member in whose name it stands unless he has given authority in writing of his consent that it should be taken up by some other member.

14
Notices of motion

14.1 Notices of motion for insertion in the Council agenda paper shall be given to the Secretary in writing and signed by the member. No notice shall be inserted in the agenda paper which shall not have been received twenty-one days before the date of the meeting.

14.2 The only motions which may be considered at General Meetings are those of which due notice has been given (i.e. two months for an Annual General Meeting and one month for an Extraordinary General Meeting).

15
Committee's reports or minutes

At Council meetings no notice of motion to adopt the report or minutes of a Committee shall be required to be submitted in writing before the meeting, but such reports or minutes shall be moved by the Chairman of the Committee, or other member in charge of the report or minutes, in the order in which they are set out in the agenda paper. A member may reserve a paragraph contained in a report or minutes during its reception. No amendment shall be proposed during the reception of the report or minutes. After the motion to adopt the report or minutes has been moved, the reserved paragraphs will be discussed in order of reservation. Thereafter the Chairman shall put the question of the acceptance of the report or minutes.

16
Voting

16.1 Voting shall be by show of hands at Council meetings. Six members rising in their places may demand a ballot or recorded vote. The Chairman shall have a second or casting vote in the event of an equality of votes. The number of votes cast for and against any motion or amendment shall be recorded in the minutes if demanded.

16.2 At General Meetings voting shall be by show of hands. On the demand of one quarter of the members present, rising in their seats after the members have voted upon a motion but before the next business has been taken, the Chairman shall rule that a motion be referred to a postal ballot.

16.3 Voting at committee meetings shall be by show of hands and the Chairman shall have a second or casting vote in the event of an equality of votes.

17
Procedural motions

During debate on motions the following procedural motions only shall be admitted:

i to amend the motion;
ii that a recommendation from a committee be referred back;
iii that consideration of the question be postponed;
iv that the meeting does proceed to the next business;
v that the question be now put;
vi that the meeting does now adjourn.

18
Amendment to motions

i Every amendment shall be relevant to the motion on which it is moved, and shall not comprise a direct negative: discretion to admit lies with the Chairman.

ii Amendments shall be made in writing and handed to the Chairman and they shall be considered in the order in which they are received

iii An amendment shall be read out by the Chairman before the mover speaks on it and no amendment shall be discussed or put to the meeting until it has been seconded.

iv An amendment may be withdrawn by the mover with the concurrence of the seconder.

v No member shall speak more than once on any amendment but a member may formally second an amendment reserving his speech for a later period in the debate. The right of reply shall not extend to the mover of an amendment but only to the mover of the original motion except as provided in Rule 9.

vi If an amendment be carried the original motion as amended shall become the substantive motion upon which any further amendment may be moved. Where an amendment is proposed, discussion must cease on the original motion and concentrate on the amendment: if lost, discussion, reply and voting shall continue on the original motion.

vii An amendment to an amendment is admissible at the discretion of the Chairman—in which event 18(vi)(supra) applies with the second amendment being discussed in priority. However, if the Chairman believes that the meeting will thereby become confused he may rule that the first amendment be decided first and that the amendment to it be put separately afterwards.

19
Reference back

In respect of Council meetings:

i When a recommendation of a Committee is under consideration a motion for the reference back to the committee of the recommendation may be made in any one of the following terms:

a that the recommendation be referred back to the Committee;

b that the recommendation be referred back to the Committee for further consideration and report;

c that the recommendation be referred back to the Committee with instructions . . . Motion (c) must be in writing;

ii the motion may be made at any time after the reception of the report has been moved and seconded, and shall take precedence over an amendment;

iii the motion must be seconded and the mover shall not have the right of reply;

iv amendments to the motion may be moved but not an amendment to omit the words of reference back;

v a member who has moved or seconded a reference back motion which has been lost shall be allowed to move an amendment on the main question provided that he has not already spoken on that question;

vi if a motion to refer back is not carried a second motion with the same object shall not be made in respect of the same recommendation.

20
Postponements

i Any member may at the conclusion of the speech of another member move *that consideration of the question be postponed* to any stated period or *sine die*. The motion must be seconded but need not be in writing.

ii The mover and seconder shall not speak beyond formally moving and seconding the motion but the mover of an original motion may reply before the motion is put.

iii An amendment may be moved to vary the period of postponement. When no period is stated the matter in question shall be included in the agenda paper of the next meeting.

RULES OF PROCEDURE

iv No member shall move or second more than one postponement motion on the same question.
v If lost, discussion continues on the original or substantive motion or an amendment.

21 Next business

i Any member may at the conclusion of the speech of another member move, unless the Chairman rules otherwise, *that the meeting does proceed to the next business*.
ii The motion need not be in writing and if seconded shall be put without debate.
iii The mover and seconder shall not speak beyond formally moving and seconding it and no amendment shall be allowed.
iv Should the motion be carried the question under discussion shall drop.
v No member shall move or second more than one motion to proceed to next business during the debate on the same question.
vi If lost, discussion continues on the original or substantive motion or on an amendment.

22 Closure

i Any member may at the conclusion of the speech of another member move, unless the Chairman rules otherwise, *that the question be now put*.
ii The motion need not be in writing and if seconded shall be put without debate.
iii The mover and seconder shall not speak beyond formally moving and seconding it and no amendment shall be allowed.
iv Should this motion be carried the motion or amendment under discussion shall be at once put, unless the mover of the original motion desires to reply.
v No member shall move or second more than one closure motion during the debate on the same question.
vi If lost, discussion continues on the original or substantive motion or on an amendment.

23 Adjournment

i Any member may at the conclusion of the speech of another member move, unless the Chairman rules otherwise, *that the meeting does now adjourn*.
ii The motion need not be in writing and if seconded shall be put without debate.
iii The mover and seconder shall not speak beyond formally moving and seconding it and no amendment shall be allowed.
iv Should this motion be carried the Chairman shall decide the time of resumption of the meeting.
v No member shall move or second more than one adjournment motion at the same meeting.
vi If lost, discussion continues on the original or substantive motion or on an amendment.

24 Distribution of Rules

A copy of these Rules shall be sent by the Secretary to every member of the Council upon election. A copy shall also be sent to the Honorary Secretary of every Group and Branch of the Association. A copy shall appear in the *LA Yearbook*.

25 Amendment to Rules

Amendments to these Rules shall be made by notice of motion in Council and, to become effective, shall require a majority of the members present and voting in favour thereof.

26 Suspension of Rules

Any member may move or second a temporary suspension of any of these Rules. The motion shall require a two-thirds majority of the members present and voting.

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Extract from: Library Association Management by
Raymond A. Palmer, in collaboration with
David Bender.

Seven fundamentals of good personnel practice.

Determination of Personnel Needs

Publishing, continuing education, and conferences and meetings are activities which many associations find cannot be carried out adequately by volunteer efforts alone. For example, assuming that an association has reached the size that it has an executive director and one of its chief objectives is continuing education, the chief executive officer and the board of directors need to work together to plan for the smooth operation of that program. Once the continuing education goals can no longer be achieved effectively and efficiently through volunteers, then that association goal must be translated into a position in the association's organizational chart. A proposed position on an organizational chart does not mean that a new staff member must be hired immediately. For example, the association could secure the service from an outside agency (one that provides services on a contractual basis to a professional organization) a college or university with a continuing education department, a library school, or a consulting firm.

Once the association has decided that the activity should be handled by staff, a position must be created in order for a goal to be met or a program to be run and a job description is developed. Each job description should contain the following elements: title of position, reporting relationships, overview of basic functions, duties and responsibilities, education, training, and experience requirements, and salary range.

Recruitment and Selection

There are a number of ways to recruit staff: employment agencies,

newspaper and professional journal classified advertisements, and referral from professional colleagues and staff are among the most common sources. Whenever possible, a single staff member should have primary responsibility for initial recruitment activities; in small associations, this task is usually handled by the executive director, while larger organizations may have a personnel expert on the staff. This ensures that basic personnel practices are followed. The prospective employee's supervisor and other staff should, of course, play an active role in the actual interview and selection process.

If the current staff is inexperienced in recruitment procedures, a reputable and professional employment agency should be used, even though there will be a cost attached to the service. If the individual responsible for hiring is well experienced in personnel recruitment and its management, the services of a personnel agency may not be needed.

Selection of staff must take into consideration the short and long term plans of the association. If the association is expected to grow and change dramatically over a short period of time, employees with quick growth potential and flexibility as as the specific qualities required for the current job description should be hired.

The person responsible for hiring should interview all screened candidates and should ask questions which require extended answers and the analysis of hypothetical situations which the candidate is likely to encounter in the job situation. A good interviewer will get the candidate to talk. Likewise, a good candidate will use the interview as a means of finding out more about the potential supervisor and the organization.

It is helpful to have a number of staff members or a combination of staff and association members involved in interviewing individuals for key positions. Salaries, benefits, and opportunities for advance-

ment should be discussed with the candidate in whom there is a strong interest. Governmental regulations should be heeded in the interviewing, hiring, and terminating of employees.

Orientation

It is important to stress that the first several weeks in a new job are a critical period for a new staff member. During this time, the employee should receive a careful orientation to the position and the association. In large organizations, classroom lectures, movies or videotapes, or group conferences may be used. An experienced staff member may be assigned to provide an orientation, allowing plenty of time for an overview of the organization, a thorough introduction to office policies and procedures, and enough unassigned time to begin the actual work of the position.

Training of new staff members is usually an informal process. The new employee should be provided with as much information about the organization and the job as are available, such as the organization's handbook of personnel policies, policies and procedures manual, association publications, and minutes of meetings.

In the initial six months, the supervisor should set aside time for reviewing closely the staff member's work and for providing specific guidance. The initial supervisor/employee relationship is not unlike a one-to-one teacher-student relationship. In most instances, an individual with requisite skills for doing a particular job should be hired, with on-the-job training planned to refine skills and to teach new ones, not to teach basic skills.

Performance Appraisal

A performance evaluation provides an opportunity for a supervisor to discuss a staff member's progress and possible avenues for improvement or change. A primary goal of appraisal of an individual's performance is motivation. It is also an opportunity for a staff member

to discuss conditions and situations under which he or she performs best. Performance evaluation should be conducted regularly and at pre-planned intervals. However, problems which need addressing either from the supervisor's or from the employee's point of view should not be "saved up" until a planned performance evaluation is to take place. A continuing dialogue between supervisor and staff is a good way to promote a spirit of cooperation and a comfortable work environment. Generally speaking, what is discussed in a performance evaluation should be written and retained as part of the employee's personnel record.

Performance evaluation, in a larger sense, is a method used to focus on the accomplishment of goals and objectives. It is a measurement against a written job description and performance standard understood by the staff member and supervisor.

Compensation

While there are intangibles more important than money, compensation in the form of salary and benefits is the universally recognized payment for services provided. For the association, salaries and benefits must be competitive with like professions or fields of endeavor. They must take into consideration geographic area, as well as differences in responsibilities. Differences in jobs are determined by analysis of the duties and responsibilities of the job itself, what is actually done, the interaction of the job with others, the difficulty of the job, and the consequences of error. Jobs are then classified in such a way as to rank them within an organization. Salary bears a direct relationship to the rank of the job, which, in turn, will directly relate to the goals and objectives of the position.

In addition to salaries, associations provide staff with fringe benefits such as vacation, sick leave, paid holidays, medical and

dental insurance, disability insurance, and participation in retirement programs. Such "benefits" packages must be comparable to those offered by private industry or business and by the government at the national or more local level. Fringe benefits may vary considerably from geographic area to geographic area.

In order to attract top-flight chief executive officers, associations should offer multi-year contracts and negotiated perquisites which may include a different set of benefits from those received by other staff members. The board of directors or a special committee given the responsibility of recruiting a chief executive officer must keep in mind that association management is in itself a profession, and the salaries and benefits which associations offer must be comparable to what others in that field of endeavor receive. This compensation may be more or less than executives receive in the professions represented.

Promotion

While promotion is frequently a way of recognizing outstanding performance, it also carries with it increased responsibility and authority, as well as a salary increase. In a large association with a significant number of departments and staff, promotions from within are commonplace. In the small association with few staff, promotions may be rare because there is rarely any way to enlarge the scope of responsibilities. In such instances, staff members must move to another organization where their range of talents may be used more effectively. This works to the disadvantage of the individual and ultimately to the disadvantage of the association. In small associations, it is wise to hire individuals who are multi-talented. When that is not possible, and the services of a specialist are required, the person responsible for hiring and the candidates themselves should clearly understand that the length of time a staff member may productively contribute to the

organization and still mature professionally may be of limited duration.

Termination

Termination may be voluntary or involuntary. Voluntary termination occurs when a staff member moves to another position, retires, or becomes disabled; or leaves because of dissatisfaction with the organization. If there are problems with any of the foregoing, corrective action must be taken. Otherwise, more employees will leave dissatisfied, and the success of the association will be limited by a disgruntled staff.

Involuntary termination requires a decision by the supervisor, department head, chief executive officer, or a combination of those individuals, depending on the policy of the association. Firing staff members should occur only as the result of poor performance or inappropriate behavior. Acts of dishonesty or disloyalty in most instances should result in immediate dismissal with a precise statement of reason, both verbally and in writing. Dismissal for other reasons must not come as a surprise to the staff member, but should be based on clarification of the performance standards expected, followed by performance evaluation, continued failure on the part of the staff member to meet the requirements of the job description, repeated attempts on the part of the supervisor to assist the staff member in correcting deficiencies, and verbal and written warnings advising that dismissal may occur and clearly describing the reasons. In some instances, a staff member may be placed on probation, and provided a specific list of improvements in behavior or job performance made by a given date or termination of employment will take place.

All these steps should be carefully documented, and care must be taken to avoid the charge of unfair personnel practices. In addition,

published personnel policies relating to termination benefits must be explicit. Guidelines in this area will vary from locale to locale and from country to country, and it is extremely important to be knowledgeable about rules and regulations in this important area.

In the management of association, as in all other endeavors which require the teamwork of a number of individuals working toward a common goal, nothing is more important then the careful selection of staff. One selected and hired, they must be made to feel a part of the organization and receive the fairest treatment and the best compensation the association can afford. In all dealings, staff must be shown consideration for their worth as individuals. Adhering to these tenets will pave the way for the success of the professional association.

An example of a.....

CODE OF PROFESSIONAL CONDUCT

The purpose of this Code of Conduct is to set out the standards of professional conduct expected of members of the Association and to indicate what matters may be regarded by the Disciplinary Committee as being contrary to the aims, objects and interests of the Association or contrary to the profession of librarianship. This code shall apply to all classes of individual member of the Association.

1 Members of the Association must conduct themselves in such a way that their conduct would not be reasonably regarded by their professional colleagues within the field of libarianship (including the provision of information services) as serious professional misconduct or as professional misconduct. It is by this overall test that the conduct will be judged.

2a Members must comply with the Charter and Bye-laws of the Association and the provisions of this Code of Conduct;

b Members must not engage in conduct which may seriously prejudice the standing and reputation of the library profession or of the Library Association;

c Members must be competent in their professional activities including the requirement

(i) to keep abreast of developments in librarianship in those branches of professional practice in which qualifications and experience entitle them to engage;

(ii) in respect of those members of the Association responsible for supervising the training or duties of another librarian, to ensure that those whom they supervise are trained to carry out their duties in a competent manner.

d Members' primary duty when acting in the capacity of librarian is to their clients, i.e. the persons or groups of persons for whose requirements and use are intended the resources and services which the members are engaged to provide. In all professional considerations the interests of clients within their prescribed or legitimate requirements take precedence over all other interests. It is recognized that the persons or groups of persons to whom this duty is owed will vary according to the nature of the employment which members undertake. In particular it is recognized that different considerations will apply where members are working at a place to which the public has right of access from those where they are working in an environment where the public is excluded or given only limited access.

e In places to which the public has right of access, save where the flow of information must be restricted by reason of confidentiality, members have an obligation to facilitate the flow of information and ideas and to protect and promote the rights of every individual to have free and equal access to sources of information without discrimination and within the limits of the law.

f Members must fulfil to the best of their ability the contractual obligations owed to their employer. However circumstances may arise when the public interest or the reputation of the profession itself may be at variance with the narrower interests of an employer. If it is found to be impossible to reconcile such differences then the public interest and the maintenance of professional standards must be the primary considerations.

g Members shall not knowingly promote material, the purpose of which is to encourage discrimination on the grounds of race, colour, creed, gender or sexual orientation. It shall not be regarded as promoting such material to divulge it for the purpose of studying the subject of that discrimination.

h (i) Members must not divulge or permit to be divulged any materials, information or administrative record (in manual or electronic form), which has been entrusted to them in confidence, to any third party nor use such information without the prior consent of the client for any purpose other than that for which it was first obtained. This duty to the client continues after the relationship of librarian and client ceases.

(ii) Members are absolved from the duty set out in sub-paragraph i above in so far as is required by law and in so far as is necessary to answer accusations before the Disciplinary Committee.

i Members' actions and decisions should be determined solely by their professional judgment and they should not profit from their position otherwise than by normal remuneration or fee for professional services.

j Members must report the facts to the Secretary of the Library Association if convicted of any offence involving dishonesty or one which brings the profession into disrepute.

k Members must:

(i) respond to any requirements from the Disciplinary Committee for comments or information on a complaint;

(ii) attend the committee proceedings when required to do so, with such representation as is provided for in the Bye-laws;

(iii) attend upon a nominated person for the purpose of receiving guidance as to future conduct if required to do so.

3a Failure to comply with the requirements set out in paragraph 2 including the requirements relating to competence may, if proved before the Disciplinary Committee, be regarded by it as serious professional misconduct and, if so, shall render the member concerned liable to be expelled or suspended (either unconditionally or subject to conditions), to be ordered to repay or forego fees and expenses as appropriate, or to be reprimanded and/or to be ordered to pay the costs of the hearing.

b Failure to comply with the requirements set out in paragraph 2, which, in the opinion of the Disciplinary Committee, falls short of serious professional misconduct may, if proved, render the member liable to be admonished or to be given appropriate guidance as to his or her future conduct.

c The provisions of paragraph 14 of the Bye-laws shall apply.

GUIDANCE NOTES ON THE CODE

1 The essential principle which lies behind the Code is that the professional librarian's prime duty is to facilitate access to materials and information in order to meet the requirement of the client, irrespective of the librarian's personal interests and views on the content of the material and the client's requirement.

THE STATUS OF THE CODE

2 The preamble of the Code reads:

The purpose of this Code of Conduct is to set out the standards of professional conduct expected of members of the Association and to indicate what matters may be regarded by the Disciplinary Committee as being contrary to the aims, objects and interests of the Association or contrary to the profession of librarianship. This code shall apply to all classes of individual member of the Association.

Section 3 of the Code reads:

a) Failure to comply with the requirements set out in paragraph 2 including the requirements relating to competence may, if proved before the Disciplinary Committee, be regarded by it as a serious professional misconduct and, if so, shall render the member concerned liable to be expelled or suspended (either unconditionally or subject to conditions), to be ordered to repay or forego fees and expenses as appropriate, or to be reprimanded and/or to be ordered to pay the costs of the hearing.

b) Failure to comply with the requirements set out in paragraph 2 which, in the opinion of the Disciplinary Committee, falls short of professional misconduct may, if proved, render the member liable to be admonished or to be given appropriate guidance as to his or her future conduct.

c) The provisions of paragraph 14 of the Bye-laws shall apply.

The Code of Conduct is primarily intended as an indication of the standards of behaviour *expected* of a member of the Association. In all professions, voluntary adherence to standards is the norm. The Code is designed to pick out those features of the librarian's work on which it is appropriate to adopt general principles. It has never been the practice of the Association to make frequent use of disciplinary action to enforce standards and there is no intention to depart from this tradition. The Code is therefore in the first place an indication to members of the standards expected of them.

3 The Byelaws of the Association already provide that disciplinary action can be taken against a member. Byelaw 14 sets out the behaviour which can give rise to disciplinary proceedings. These are: action contrary to the 'aims, objects and interests of the Association' or 'conduct unbecoming or prejudicial to the profession of librarianship'. The penalties expressly provided in the Byelaws, exercisable only after a rigorous procedure involving the Disciplinary Committee and Council (both requiring a two thirds majority) and the possibility of legal representation, are expulsion, suspension and reprimand. As stated in the preamble and Section 3 of the Code of Conduct, one purpose of the Code is to indicate in advance what behaviour might be regarded by the Disciplinary Committee and the Council as constituting offences under Byelaw 14.

4 Section 3b of the Code contemplates that behaviour considered by the Disciplinary Committee to be insufficiently serious to merit a more severe penalty may lead to an admonition or to the issue of guidance as to the member's conduct. The Association conceives 'admonition' as less severe than 'reprimand'. It is contemplated that the Association would not publicise any case where the penalty imposed was less than 'reprimand'. This does not imply that higher penalties would necessarily be publicised.

5 It is the Association's intention in due course to amend the Byelaws to include a reference to the Code.

6 As the preamble to the Code states, the Code applies to all classes of individual members of the Association. This includes persons who are not professional librarians but who may acquire membership of the Association under current byelaws. Clearly the Code mainly relates to the activities of professional librarians but insofar as other members take part in relevant activities, they are expected to comply with the Code.

THE SUBSTANCE OF THE CODE

4 No clarification is required on Section 2a which reads:

> *Members must comply with the Charter and Bye-laws of the Association and the provisions of this Code of Conduct.*

This merely repeats the requirement that members must abide by the bye-laws and adds a requirement to comply with the Code. Section 2b reads:

> *Members must not engage in conduct which may seriously prejudice the standing and reputation of the library profession or of the Library Association.*

This section reflects the requirement in byelaw 14 but makes clear that it is directed at 'serious' and not only trivial prejudice to the profession and the Association.

From time to time, the Association may advise its members not to apply for or accept certain professional posts on the grounds, for example, that the salary offered is not appropriate to the responsibilities carried or that suitable arrangements have not been made to allow the office holder to discharge his or her professional duties properly. The Council of the Association has decided that when a member of the Association applies for or accepts a post in defiance of such advice this will be regarded as behaviour meriting the initiation of disciplinary proceedings against that member.

UPDATING PROFESSIONAL EXPERTISE

8 Section 2c(i) reads:

> *Members must be competent in their professional activities including the requirement to keep abreast of developments in librarianship in those branches of professional practice in which qualifications and experience entitle them to engage.*

The fact that a member of the Association has acquired a professional qualification does not mean that he or she can be regarded as having discharged his duty for all time. Just as a doctor is expected to keep abreast of new developments in medicine, so The Library Association expects its professional members to ensure that they are familiar with latest techniques, trends and devices in the profession of librarianship and information science. Increasingly, librarians and information scientists specialise in one sector or another of professional activity and there is no suggestion that professionals should be obliged to extend their competence outside their normal activity; but the Code lays on members an obligation to ensure that, by reading, attendance at courses, contact with colleagues and other such means, they keep up to date with developments relevant to their current activities. Thus librarians must ensure they become familiar with new sources of information, whether in hard copy form or on computer data bases, with new techniques, co-operation between library services, library management and all other matters required for the best possible discharge of his duties. They should keep abreast of changes in user needs and interests, and of the results of research on library and information matters.

SUPERVISION OF STAFF AND TRAINEES

9 Section 2c(ii) reads:

> *Members must be competent in their professional activities including the requirement in respect of those members of the Association responsible for supervising the training, or duties of another librarian, to ensure that those whom they supervise are trained to carry out their duties in a competent manner.*

The Association's licentiate scheme requires the supervision of licentiates by chartered librarians. The lifeblood of the profession must be the flow of expertise from more experienced to less experienced members. The Code makes clear that the Association requires members to discharge this duty diligently and to see it not as an 'extra' but as an important and integral part of their professional activity.

DUTY TO CLIENT AND EMPLOYER

10 Section 2d deals with the question 'Who is it that librarians have a duty to serve – employers or the clients seeking their services?' The paragraph reads:

> *Members' primary duty when acting in the capacity of librarian is to their clients, i.e. the persons or groups of persons for whose requirements and use are intended the resources and services which the members are engaged to provide. In all professional considerations, the interests of the clients within their prescribed or legitimate requirements take precedence over all other interests. It is recognised that the persons or groups of persons to whom this duty is owed will vary according to the nature of the employment which members undertake. In particular it is recognised that different considerations will apply where members are working at a place to which the public has right of access from those where they are working in an environment where the public is excluded or given only limited access.*

There are cases when the employer and the client are identical, as when a small research organisation employs a single librarian to assist its work. In many cases, however, there is a distinction. The employer of a public librarian is the local authority but the clients are the members of the public entitled to use the service. An academic librarian is employed by a university or college – but the clients are the students and lecturers and others who have the right to use the library services. In a large commercial

library, a distinction may be drawn between the company as a whole and the individuals and sections who call for assistance from the library or information unit. The Library Association recognises that no absolute rules can be devised for a multiplicity of different circumstances. Librarians must seek to perform their professional duty according to the situation in which they work. The Code makes clear however that the *primary* duty is to the client and that 'client' means the direct user of the service. Thus it would certainly constitute unprofessional conduct for a librarian to refuse to supply information or knowingly to supply erroneous or misleadingly incomplete information to a legitimate client at the behest of the librarian's employer.

11 Section 2f deals specifically with the limits of librarians' duties to their employers and therefore should be read in conjunction with Section 2d and the comments on that paragraph set out above. Section 2f reads:

> *Members must fulfil to the best of their ability the contractual obligations owed to their employer. However circumstances may arise when the public interest or the reputation of the profession itself may be at variance with the narrower interests of an employer. If it is found to be impossible to reconcile such differences, then the public interest and the maintenance of professional standards must be the primary considerations.*

12 The Association recognises that in this matter, conflicts can arise which reasonable people would find difficult to resolve in absolute terms. The least that the Code is intended to do is to bring home to its members and to employers that such conflicts are possible and that professional duty must be the prime consideration. It is hoped that the Code will assist members in defending correct decisions against pressure from employers.

PROMOTING ACCESS TO INFORMATION

13 Section 2e deals with the librarian's duty to foster the fullest possible access to information by the public. It reads:

> *In places to which the public has right of access, save where the flow of information must be restricted by reason of confidentiality, members have an obligation to facilitate the flow of information and ideas and to protect and promote the rights of every individual to have free and equal access to sources of information without discrimination and within the limits of the law.*

This paragraph means that the librarian in charge of a service provided for the public has a duty not only to hold and take care of the stock of books

and information but to facilitate its availability now and to conserve it for the future. It follows that such action as denying a person the use of a library because of a history of abuse or theft must be taken on the balance of advantage secured for the free access of others. The reference in this section of the Code to 'within the limits of the law' means that the free flow of information principle cannot be taken to authorise the provision of matter which, because of obscenity or on other grounds, is prohibited by law. These words do not imply that there can never be a conflict between the law and professional ethics. For example, if the law were to authorise censorship of acquisitions or such charges for services or such restrictive conditions for using them as greatly to restrict access in practice, that could well create a conflict between the law and the ethics of the profession. In such a case the profession as a whole and the Association on its behalf would be expected to take any necessary action.

DISCRIMINATION ON RACE, COLOUR, CREED, GENDER AND SEXUAL ORIENTATION

14 Section 2g reads:

> *Members shall not knowingly promote material, the purpose of which is to encourage discrimination on the grounds of race, colour, creed gender or sexual orientation. It shall not be regarded as promoting such material to divulge it for the purpose of studying the subject of that discrimination.*

Statute law covers such matters as discrimination in access to jobs, housing accommodation and membership of organisations; the Code is concerned with the provisions of books and other material in libraries. The injunction is against 'promoting' material whose purpose is to encourage discrimination. Librarians always have to exercise their judgement in choosing material to stock but the Code is only concerned with intentional promotion of material whose very purpose is to encourage discrimination. Thus material which someone believes does in fact encourage discrimination is not explicitly covered so long as it is not intended to do so. A further limitation in the Code is that the mere stocking of material even of that kind is not condemned if it is stocked for the purpose of study. A large part of the purpose of Hitler's 'Mein Kampf' was to encourage prejudice against Jews but the Code in no way implies that librarians should for that reason censor that work out of their collections.

15 The Association recognises that there is no clear line to be drawn in this matter. It would probably be regarded as a breach of the Code if a librarian chose to display in a prominent manner publications whose

content was designed to encourage one of the forms of discrimination mentioned in the Code. But the holding and making available of such works in a manner no different to other material in the library would not necessarily be regarded in the same way. It is clearly relevant whether the material relates to topical situations or to historical ones. If any case of this nature came before the Disciplinary Committee, the Committee and the Council would be bound to give great weight not only to the nature of the material but also to the intentions of its author in writing it, the intention of the librarian in making it available and the manner in which it was made available.

CONFIDENTIALITY

16 The Data Protection Act imposes limitations on the relevance of data held on computer. The Code in no way affects legal obligations under the Act but supplements them with professional principles which apply both to data held on computer or otherwise.

17 Section 2h reads:

(i) Members must not divulge or permit to be divulged any materials, information or administrative record (in manual or electronic form), which has been entrusted to them in confidence, to any third party nor use such information without the prior consent of the client for any purpose other than that for which it was first obtained. This duty to the client continues after the relationship of librarian and client ceases.

(ii) Members are absolved from the duty set out in sub-paragraph i above in so far as it is required by law and in so far as is necessary to answer accusations before the Disciplinary Committee.

This paragraph specifically limits its coverage to materials and information entrusted 'in confidence'. The question arises whether the librarian can deem, without specific agreement of the client, that information was not meant to be treated as confidential. The general principle is clear: information about a borrower should not be supplied to any person outside the library staff. Exceptions should be made only when it is abundantly clear to the librarian that the borrower would not object. The prohibition in the Code is against supplying information to a 'third party'. The Association is clear in its views that the confidentiality entrusted by the client is entrusted to library staff and not to the institution as a whole.

18 The second part of Section 2h makes clear that no breach of the Code takes place when a librarian provides information, however confidential, in response to a court order ('required by law'). Librarians who are asked for confidential information by the police should accordingly request the police to obtain a court order first.

19 The reference in the Code to restriction of information to purposes 'for which it was first obtained' is meant to cover a situation like that when borrowers are asked to provide information about their general borrowing practices for a survey. Such information can be made available to a third party provided the client has agreed, but may not thereafter be conveyed for other purposes.

20 The Association appreciates that difficult cases can occur in this field and draws attention to the general words in Section 1 of the Code that conduct is to be judged according to what professional colleagues would reasonably regard as professional misconduct.

PERSONAL FINANCIAL INTEREST

21 Section 2(i) reads:

> *Members' actions and decisions should be determined solely by their professional judgement and they should not profit from their position otherwise than by normal remuneration or fee for professional services.*

Under this provision, it would clearly be wrong for a librarian to allow the fact that he or she had written a book to affect a decision whether or not to acquire it for the library. The receipt of fees for services, other than normal salary, is not prohibited even if the librarian is enabled to provide the service because of his or her position. The paragraph is directed at conflict between the personal interest and professional duty and makes clear that professional behaviour and judgement are to be entirely unaffected by any consideration of a personal or financial nature. It is equally important to avoid creating suspicion that a conflict could exist between personal and official interests. Some librarians are governed by local authority or other employers' codes of conduct in this matter. When librarians are in doubt about a possible impropriety of this kind, they are strongly advised to draw the facts to the attention of their employers.

CRIMINAL OFFENCES

22 Section 2j reads:

Members must report the facts to the Secretary of the Library Association if convicted of any offence involving dishonesty or one which brings the profession into disrepute.

Conviction for any offence which could bring the profession into disrepute is to be notified to the Association. This would particularly apply to offences which directly related to the librarian's discharge of his or her duties. Although minor motoring offences are not normally notifiable, theft, fraud and offences involving deceit certainly are.

CO-OPERATION IN DISCIPLINARY PROCEEDINGS

23 Section 2k reads:

Members must:

(i) respond to any requirements from the Disciplinary Committee for comments or information on a complaint;

(ii) attend the committee proceedings when required to do so, with such representation as is provided for in the Bye-laws;

(iii) attend upon a nominated person for the purposes of receiving guidance as to future conduct if required to do so.

This paragraph is self-explanatory. The last provision relates to references in Section 3b to the possibility of the Disciplinary Committee deciding to respond to a complaint against a member only by giving evidence about future conduct.

24 In all cases where members of the Association are in doubt as to the proper interpretation of the Code, they are requested to seek advice from the Chief Executive of the Association.

Extract taken from Library Association Management
by Raymond A. Palmer, in collaboration with
David Bender.

LIBRARY ASSOCIATION

1988 BUDGET OF REVENUES AND EXPENSES

Revenue	
Dues	$1,750
Meeting/Registration fees	$3,750
Newsletter subscriptions	$ 250
Other income	$ 200
Total Revenue	$5,950
Expenses	
Secretarial support	$2,300
Office supplies	$ 250
Newsletter production	$1,200
Meeting expenses	$1,800
Total expenses	$5,550
Net revenue over expenses	$ 400

Extract taken from Library Association Management
by Raymond A. Palmer, in collaboration with
David Bender.

LIBRARY ASSOCIATION

STATEMENT OF REVENUE AND EXPENSES

FOR THE YEAR ENDING DECEMBER 31, 1987

	Actual	Budget
Revenue		
Dues	$1,850	$1,750
Meeting/Registration fees	3,800	3,750
Newsletter subscriptions	190	250
Other revenue	200	200
Total Revenue	$6,040	$5,950
Expenses		
Secretarial support	$2,100	$2,300
Office supplies	225	250
Newsletter Production	1,100	1,200
Meeting Expenses	1,900	1,800
Total Expenses	$5,325	$5,550
Net Revenue over Expenses	$715	$400

Extract taken from Library Association Management by Raymond A. Palmer, in collaboration with David Bender.

LIBRARY ASSOCIATION

BALANCE SHEET

AT DECEMBER 31, 1987

ASSETS	
Current Assets	
Cash in Checking Account	$500
Cash in Savings Account	800
Accounts Receivable	100
Property and Equipment	
Office Equipment	300
Total Assets	$1,700
LIABILITIES AND FUND BALANCE	
Current Liabilities	
Accounts Payable	$400
Fund Balance	1,300
Total Liabilities and Fund Balance	$1,700

Central Service Providers in membership of ROTNAC (IFLA)

CONTACTS PER COUNTRY

Belgium	: **Mr. W. de Ceuster**, Vlaamse Bibliotheelcentrale, Goudbloemstraat 10-12, 2008 Antwerpen, Belgium.
	: **Mr. Canone**, Centre de Lecture Publique de la Communaute Francaise, Boulevard de ;a Sauveniere 123, 4000 Liege, Belgium.
Denmark	: **Mrs. K. Waneck**, Bibliothekscentralen, Tempovej 7-11, DK-2750 Ballerup, Denmark.
	: **Mr. H. Bjorneboe**, Indbindingscentralen, Telgrafvej 5, DK-2750 Ballerup, Denmark.
Finland	: **Mr. O. Poutanen**, Kirjastopalvelu Oy, P.O.B. 84, 00211 Helsinki, Finland.
France	: **Mr. P. Sanz**, Centre National de Co-operation des Bibliotheques Publiques, 6 Avenue de France, 91300 Massy, France
Germany	: **Mr. G. Beyersdorff**, Deutsches Bibliotheksinstitut, Bundesallee 184-185, D-1000 Berlin, Fed. Rep. of Germany.
	: **Mr. O. R. Rothbart**, Einkaufzentrale fur Offentliche Bibliotheken, Postfach 1542, 7410 Reutlingen, Fed. Rep. of Germany.
Great Britain	: **Mr. E. Winter**, Library Services Ltd., 19 Cricketers Drive, Meopham, Kent DA13 0AX, Great Britain.
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Jamaica	: **Mrs. S. M. Iton**, Jamaica Library Service, 2 Tom Redcam Drive, Cross Roads, Kingston 5, Jamaica.
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Switzerland	: **Mrs. Renner-Bach**, Schweizer Bibliotheksdienst, Postfach 2267, CH-3001 Bern, Switzerland.